

Grant Management Solutions Annual Report

Grant Management Solutions

December 22, 2014

Development objectives: Provide short-term technical support to grantees of the Global Fund to Fight AIDS, Tuberculosis and Malaria; build regional capacity; and share knowledge.

Key words: Global Fund, Technical Support, Country Coordinating Mechanisms, Principal Recipients, Governance, Oversight, Procurement and Supply Management, Monitoring and Evaluation, Capacity Building, PEPFAR3, Dashboards, Eligibility and Performance Assessments, Information Management Systems, New Funding Model, Abt Associates, Futures Group, International HIV/AIDS Alliance, MIDEGO Inc., PACT, Training Resources Group, ADVANTECH, ALMACO Ltd., Curatio Foundation, Eurasia Foundation, Global Challenge Corporation, Plenitud, Institute for Research, Socio-economic Development and Communication, Khulisa Management Services Pty Ltd, OASYS Financial and Management Services, Q Partnersip, Technical Support Inc., Upward Bound, AIDS Projects Management Group, Catalyst Management Services Pvt. Ltd., Euro Health Group A/S, Health & Development Africa Pty. Ltd., Innovative Development Expertise & Advisory Services Inc, International Program Assistance Inc., LMI, ResultsinHealth, SCM Advantage LLC, zeGOgroup

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Grant Management Solutions
4301 North Fairfax Drive, Suite 400
Arlington, VA 22203
Telephone: 703-524-6575
<http://www.msh.org>

GRANT MANAGEMENT SOLUTIONS ANNUAL REPORT

Project Year 2 | October 1, 2013 – September 30, 2014

December 22, 2014



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ACRONYMS AND ABBREVIATIONS

Alliance		International HIV/AIDS Alliance
CCM		country coordinating mechanism
COR		contracting officer representative
CP		condition precedent
DFAT		Australian Department for Foreign Affairs and Trade
EFCA		Eurasia Foundation
EPA		eligibility and performance assessment
ESA		Eastern and Southern Africa
FEI		<i>France Expertise Internationale</i>
GCC		Global Challenge Corporation
GIZ		Deutsche Gesellschaft für Internationale Zusammenarbeit
Global Fund		Global Fund to Fight AIDS, Tuberculosis and Malaria
GMS		Grant Management Solutions
HSS		health systems strengthening
IMS		Information Management System
IQC		indefinite quantity contract
KPs		key populations
LOP		life of project
LMG		Leadership, Management and Governance
MOU		memorandum of understanding
M&E		monitoring and evaluation
MSH		Management Sciences for Health
NGO		nongovernmental organization
NFM		new funding model
OGAC		Global Fund to Fight AIDS, Tuberculosis and Malaria
PEPFAR		The United States President's Emergency Plan for AIDS Relief
PIP		performance improvement plan
PMP		performance monitoring plan
PR		principal recipient
PRM		principal recipient management
PSM		procurement and supply management
PY		project year
SR		subrecipient
STTS		short-term technical support
TS		technical support
UAT		user acceptance testing
USAID		United States Agency for International Development
USG		U.S. government
WCA		West and Central Africa

EXECUTIVE SUMMARY

Grant Management Solutions (GMS) is delighted to present the second annual report of the second GMS contract for October 1, 2013, through September 30, 2014 (project year (PY) 2). The first phase of GMS ended on September 30, 2012; the second phase¹ began the next day on October 1, 2012, and will continue until September 30, 2015, with a possible extension through 2017. GMS is implemented by a partnership of 28 regional and international institutions, led by Management Sciences for Health (MSH).

Objective 1: Short-term technical support for CCMs and PRs

GMS's technical support assignments in PY2 have been shaped by the evolution of new policies of the Global Fund to Fight AIDS, Tuberculosis and Malaria (Global Fund), processes and systems in the transition to the new funding model (NFM) and by the introduction of PEPFAR3. While GMS expected an increasing volume of assignments for grant making, only 40 of a targeted 60 requests were received, as country coordinating mechanisms (CCMs), grant implementers and stakeholders waited for news of their country's funding allocation and then focused on country dialogue and concept note development. Following the evolving focus of the Global Fund and PEPFAR on higher burden countries, GMS's two-year portfolio of 53 client countries comprises 41% of active grants or 60% of the value of signed grants. These countries represent 46% of the top 50 fragile states.²

GMS work with CCMs changed very significantly in PY2. Of the 24 CCM assignments received, all but one focused on the new Global Fund requirements for the Eligibility and Performance Assessment (EPA) and development or implementation of the Global Fund's new *Performance Improvement Plan* (PIP). For the 16 principal recipient (PR) assignments, GMS pursued the transition from the rounds-based grant model and the NFM, continuing to shepherd some of the remaining grants through Phase 2 or Rolling Continuation Channel renewal. GMS assisted two NFM early applicants to start grants and, late in the year, began grant-making support to Nigeria for its \$500 M malaria concept note. Six other assignments were part of the pilot to introduce the PR management dashboard (see Objective 3 below).

Objective 2: Capacity building of regional partners and consultants

GMS completed recruitment of its second wave of six regional partners, adding ADVANTECH (Republic of Kenya), Upward Bound (Kenya), Khulisa Ltd. (South Africa), Global Challenge Corporation (Republic of Cote d'Ivoire), IRESCO (Republic of Cameroon), and Eurasia Foundation (Republic of Kazakhstan) to the original group. The twelve organizations benefitted from the new business strengthening approach, "*A Business Strengthening Model for Regional Global Fund Technical Support Providers*": nine have completed strategic and business plans.

GMS regional partners have begun to pursue non-GMS technical support work. The six original regional partners responded to Global Fund indefinite quantity contract (IQC) opportunities: a team of two was selected for a monitoring and evaluation (M&E) IQC while three were selected for the recent EPA IQC. In addition, regional partner OASYS (Senegal) received a grant from the BACKUP Initiative of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and GMS JumpStart funds for an innovative approach to country dialogue support with five African and Middle Eastern countries. Regional partner Curatio (Georgia) is completing negotiations with the French 5% Initiative for an innovative approach to transition planning.

¹ Throughout this report, the name "Grant Management Solutions" and its associated acronym, "GMS," refer to USAID contract number AID-OAA-C-12-00040 which began on October 1, 2012.

² The Fragile States Index is produced annually by the Foreign Policy Group. <http://www.foreignpolicy.com/fragile-states-2014>

Consultant strengthening in PY2 was deeply affected by the emphasis on CCM support rather than grant making. GMS modified its training plan to emphasize team leader skills (N= 30) and to prepare consultants for the EPA process (N=37). Only one new consultant orientation was carried out (N= 49). Virtual consultant training continued (N = 91) in collaboration with the International HIV/AIDS Alliance (the Alliance). On-line webinars by GMS technical managers were used to train consultants to carry out the new Implementation Mapping process (N = 70) and on GMS logistics requirements. The GMS consultant certification screening was carried out quarterly.

Objective 3: Results and knowledge management

During PY2, GMS diversified its dissemination of approaches for results measurement and technical support (TS) quality. GMS promoted its long-term agenda to build engagement with a common approach to results measurement of technical support through collaboration with the French 5% Initiative, GIZ BACKUP Initiative, the Alliance, USAID-funded SIAPS project, and the Global Fund Secretariat, as well as through presentations of the approach and results at the 20th International AIDS Conference in Melbourne, Australia.

In September 2014, GMS completed the pilot phase of the PR dashboard development project, a partnership between GMS, the German software company SAP, and the Global Fund Secretariat's Innovation Coalition and Strategic Information offices. The new PR dashboard, designed for management monitoring, is a second-generation design building on the simpler CCM dashboard transmitted to the Global Fund by GMS in 2010 (first GMS contract phase). The PR dashboard was piloted in the Dominican Republic, Senegal, Cote d'Ivoire, Uganda, South Africa and Laos PDR with seven PRs. It is scheduled for transfer to the Global Fund in early 2015.

Collaboration with the Global Fund: policy development

Throughout the year, GMS collaborated with the Global Fund Secretariat's CCM Hub and its partners on development and implementation of the new EPA process. In response to feedback from the CCM Hub on the updated CCM eligibility requirements #4 and #5 concerning "key populations"³ (KPs), in September 2014, GMS met with experts drawn from the GMS consultant network to develop its policy on GMS technical support to KPs. The policy is being circulated to partners and the Global Fund for review. Once the policy has been reviewed and any appropriate changes have been made to it, it will be used to refocus consultant training, supervision, and quality assurance of technical support.

GMS Project Year 2 Results At-a-Glance

- ❖ 15 of 22 Global Fund "High Impact" countries served
- ❖ 24 CCM EPAs completed
- ❖ 3844 client staff and CCM members trained or oriented
- ❖ PR dashboards completed for 7 PRs and their 84 subrecipients (SRs)
- ❖ 6 new grants and grant phases signed (value = \$113.7 M)
- ❖ 93 GMS team members and 30 GMS team leaders have now achieved GMS consultant certification

³ See the updated CCM guidelines at <http://www.theglobalfund.org/en/ccm/guidelines/>

Figure 1. Where GMS Worked in PY2



Grant Management Solutions (GMS) is delighted to present the second annual report of the second GMS contract. The first phase of GMS ended on September 30, 2012; the second phase⁴ began the next day on October 1, 2012, and will continue until September 30, 2015, with the possibility of two additional years until 2017. PY2 began on October 1, 2013, and ended on September 30, 2014. This report comments on the evolving environment for GMS work and how that environment has affected GMS’s activities and results in the past year. Life-of-project (LOP) results are provided as well.

What is GMS? The U.S. Congress provides the Office of the U.S. Global AIDS Coordinator (OGAC) the discretion to use up to 5% of the State and Foreign Operations appropriations for the Global Fund to provide Global Fund technical support. Both phases of GMS have been funded through a portion of this set-aside. In addition, the second phase of GMS may receive funds obligated through local and regional USAID missions (“field support funds”). The current phase of GMS was awarded on September 30, 2012, under USAID contract number AID-OAA-C-12-00040. The total (second phase) represents \$99,937,177. During project year 2 (PY2), \$21 million were obligated—\$20 million from core (USAID Washington) funds and \$1.06 million from field support funds from local and regional USAID missions. As of September 30, 2014, GMS had cumulative expenditures and commitments of \$35.5 million.

GMS is executed by MSH and 28 partners. They include MSH’s six largest “Tier 1 Partners” Abt Associates; Futures Group; International HIV/AIDS Alliance (the Alliance); MIDEGO Inc.; PACT; and Training Resources Group. The two waves of six regional entities (and their headquarter countries), or “Tier 2 Regional Partners,” (comprise ADVANTECH (Kenya); ALMACO Ltd. (Kenya); Curatio Foundation (Georgia); Eurasia Foundation, or EFCA (Kazakhstan); Global Challenge Corporation, or GCC (Cote d’Ivoire); Plenitud (Dominican Republic); Institute for Research, Socio-economic Development and Communication, or IRESCO (Cameroon); Khulisa Management Services Pty Ltd (South Africa); OASYS Financial and Management Services (Republic of Senegal); Q Partnership (Republic of Zimbabwe); Technical Support Inc. (People’s Republic of Bangladesh); and Upward Bound (Kenya). Ten additional subcontractors, or “Tier 3 Partners,” round out the 28: AIDS Projects Management Group, or APMG (Commonwealth of Australia); Catalyst Management Services Pvt. Ltd. (Republic of India); Euro Health Group A/S (Kingdom of Denmark); Health & Development Africa Pty. Ltd. (Republic of South Africa); Innovative Development Expertise & Advisory Services Inc, or IDEAS (US); International Program Assistance Inc., or IPA (United States of America); LMI (US), ResultsinHealth (RiH) (Kingdom of the Netherlands); SCM Advantage LLC (United States), and zeGOgroup (French Republic).

⁴ Throughout this report, the name “Grant Management Solutions” and its associated abbreviation, “GMS,” both refer to the project under contract number AID-OAA-C-12-00040, which began on October 1, 2012. The term “GMS1” refers to the project under an earlier, now fully executed, contract with the same name of “Grant Management Solutions,” which ran through September 30, 2012.

1. THE THREE PROJECT OBJECTIVES OF GMS

GMS has three closely connected objectives. The work under each is enriched and sustained by crosscutting collaboration among the three teams and other specialists who advance the work of each objective.

Objective 1 (65-80% of GMS's work) is to provide short-term technical support (STTS) to Global Fund CCMs and PRs to unblock bottlenecks and resolve systemic problems that hinder a country's response to HIV/AIDS, tuberculosis and malaria. During PY1, this objective was expanded to go beyond urgent STTS to include a limited amount of medium-term TS. This expanded scope is designed to give the government of the United States (USG) greater flexibility in addressing Global Fund TS needs. GMS provides Objective 1 support in four technical areas: (1) governance and oversight by CCMs, (2) grant and financial management for PRs and SRs, (3) procurement and supply management (PSM), and (4) monitoring and evaluation (M&E), and reporting. GMS may provide TS for the CCM eligibility and grant-making phase of the NFM; however, just as GMS1 did not support proposal development, GMS does not support the preparation of concept notes or participate in country dialogue. Subject to the approval of the USG, GMS support is available to all countries and governing bodies (except those on the U.S. Department of State's list of state sponsors of terrorism) that receive grants from the Global Fund.

Objective 2 Under its second objective (15-30% of GMS's work), GMS builds the capacity of local and regional entities on the one hand and of individual consultants on the other hand to provide management and governance TS including and beyond the GMS scope (Objective 2). Twelve regional entities receive management and technical strengthening to respond effectively to (non-GMS) Global Fund TS opportunities that arise through direct CCM and PR contracting, bilateral donor and Global Fund Secretariat tenders. Individual consultants from all GMS partners will have the opportunity to strengthen their knowledge and skills through blended learning events and technical oversight of team work—already begun in PY1—and to then obtain certification at the “team member” or “team leader” capacity levels. Certification will be maintained through continuing education and satisfactory completion of additional assignments.

Objective 3 Under its third objective (5% of the project), GMS takes a leadership role in developing and disseminating management and governance-related best practices, tools, lessons, and approaches in Global Fund TS to other TS providers through documentation (paper and electronic) and use of electronic platforms.

2. 2013-2014. NEW FUNDING MODEL IMPLEMENTATION: AN EVOLVING PROCESS

In October 2013, beginning its second project year, GMS believed it was poised to respond to a significant increase in demand for support to the grant-making phase of the NFM. The Global Fund had announced in February 2013 that six countries and three regions had been invited to participate in a “learning wave” of NFM grant making. The Global Fund had set an ambitious target of \$15 billion for its Fourth Replenishment Meeting. The Global Fund Secretariat was mobilizing TS for the NFM from the bilateral and multilateral partners and had announced interest in broadening the rosters of TS providers by publication in August 2013 of a first call for expressions of interest in an IQC encouraging responses from national and regional TS providers. GMS expected a year in which grant making was the principal focus of work and in which GMS Objective 2 partners would have access to a range of non-GMS opportunities to test their new business capacities.

While the past year was driven by the implementation of the NFM, the pace and content of events differed from GMS’s expectations. The Replenishment Conference in December 2013 resulted in pledges for \$12 billion of the \$15 billion requested, following which the Global Fund stakeholders waited for the announcement of the new indicative funding amounts and proposed disease allocations available to each country. The Global Fund’s intent is to provide a more certain funding environment for the three diseases and reduce the burden of work for all parties through a triennial application process. The calculation process, especially the allocation of portions of the indicative amount to each of the three diseases, has been the subject of ongoing debate. Changes in country eligibility for Global Fund grants through the “band” categories and through changes in the income thresholds reduced the Global Fund’s geographic footprint as well.⁵

This past year has seen the implementation of the new “country team” approach, greatly increasing the frequency of contact between Global Fund staff and CCMs, PRs, and stakeholders, and the depth of involvement of the country teams in CCM affairs, grant oversight, concept note preparation, and grant making. During the long period from January 2013 to September 2014, countries and country teams focused more and more on concept notes. As the concept note and grant-making phases have unfolded, new requirements have emerged,

some temporarily such as The Qualitative Risk Assessment, Action Planning and Tracking Tool (QUART), others—such as implementation mapping, the modular template, the capacity assessment tool—as part of the new end-to-end online grant platform under construction by

Implementation of the New Funding Model: Critical events

November 2013: Introduction of the Eligibility and Performance Assessment (excel version)

December 2013: Global Fund Replenishment Conference in Washington, DC

February 2014: On-line EPA template made available to CCMs

March 2014: Announcement of indicative and incentive funding amounts per country

March 2014: On-line concept note templates made available to CCMs

March 2014: Global Fund Board meeting announces reserved funding for technical support

May 2014: First window for concept notes

June 2014: Second window for concept notes

June 2014: Cambodia Joint Global Fund/IHAA EPA training and review meeting

August 2014: Third window for Concept Notes

⁵ See the Global Fund announcement at www.theglobalfund.org/en/fundingmodel/allocationprocess/.

the Global Fund. Although only 50% of the first concept notes were passed to grant making in May 2014, by June 2014 72% of the grants had moved to the grant-making phase.

As the year has progressed, the growing engagement of country teams with CCM eligibility and performance has emerged: the use of the EPA tool and its PIP as the performance measurement tools for CCMs is now clear. In recent months, the use of EPA and PIP results as critical gateways in the NFM process shows a more specific commitment to governance than in earlier years of the Global Fund. The timing of EPAs and the progress with PIPs have become vital to the progress toward new grant signature: linking CCMs to grants as never before. Furthermore, the greater emphasis placed on participation of KPs, community rights and gender, and human rights by the Global Fund Board, is found in the updated eligibility requirements and minimum standards for CCMs: in the past year, the EPA process has required all involved with CCMs to focus new attention on KPs as part of governance, country dialogue, and implementation and has created greater incentives for CCMs to engage with reform.

The engagement of the Global Fund with TS providers continued to change. The IQCs awarded in 2013 were not followed by task contracts. Instead, in March 2014, the Global Fund Board announced decisions earmarking TS funding through the World Health Organization for strong concept notes, for community rights and gender, and for value-for-money,⁶ work generally inaccessible to GMS national and Tier 2 Regional Partners.

While the Global Fund unfolded the NFM, two other events shaped the environment in which GMS operates. First, early in 2014, the GIZ BACKUP Initiative announced that it had exhausted its budget for TS until 2015, greatly reducing the availability of supplementary funds for CCM reforms.

Second, and most critically, the USG announced the PEPFAR3 program, with its principles of accountability, transparency, impact, and human rights, but also with a reduced geographic focus on very high burden countries. GMS aligns well with these principles, while the new geographic focus changes the potential intervention zone of the project.

This plethora of events has created a year of continual adjustments, continual updating, continual forecasting as GMS has worked to stay afloat in this current of change. Sometimes tipped by hidden whirlpools, sometimes stuck in a side current, sometimes slipping ahead with the fast water, GMS has strived to contribute to the Global Fund debate and to deliver high quality, urgent TS and appropriate training while the requirements and conditions continue to change. This theme ties together the activities and results presented in this second annual report.

⁶ See the summary of Global Fund Board decisions at <http://www.theglobalfund.org/en/board/meetings/thirtyfirst/>

PR Management Dashboard Gets Attention



Photo credit: Dani Wassef

Objective 1 At-a-Glance

No. of PY2 assignments received	40	Life of Project: assignments received	82
No. of Global Fund grants affected (LOP)		Signed value of Global Fund grants affected (LOP)	\$12.3 B
By PR support	34	% of active grants	41%
By CCM support	187	% of value of active portfolio	60%
No. of EPAs completed	24	# of new grants and phases signed	6

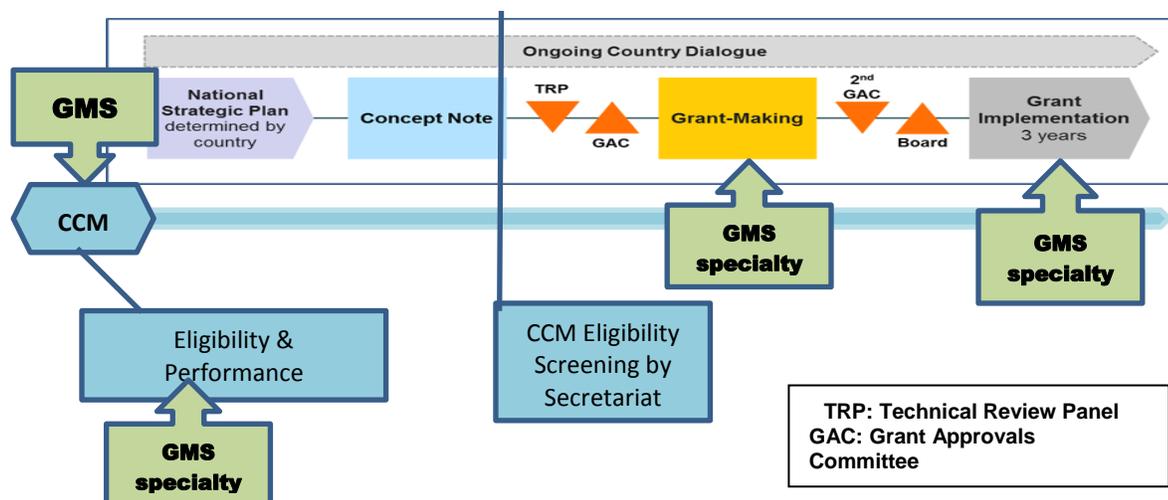
1. INTRODUCTION: SCOPE OF GMS TECHNICAL SUPPORT

Providing short-term urgent TS and a smaller amount of medium-term support TS to CCMs and PRs remains the principal objective of GMS, representing 68.8 % of project budget in PY2. GMS provides for specific aspects of governance and grants management, and within specific temporal and financial limits.

GMS technical purview

In the evolving Global Fund landscape, USAID continues to define the limits of TS engagement with CCMs and PRs in the NFM: GMS may intervene in helping CCMs plan country dialogues, but GMS will not update national strategy reviews or develop concept notes. GMS may support the CCMs in conducting EPAs and in implementing relevant elements of the ensuing PIPs, including oversight strengthening. With PRs, GMS may support the grant-making phase and assist the PR to address urgent bottlenecks and systemic weaknesses after grant signature.

Figure 2. The New Funding Model: Process and Steps



GMS technical support modalities

For core-funded assignments, the request and approval processes are unchanged from PY1: CCMs and/or PRs download and complete the request for support from the OGAC, Global Fund or GMS websites and submit it to OGAC and USAID/Washington. USAID reviews the requests, discusses priorities and issues with stakeholders (potential client, USAID missions, Global Fund country teams) and submits the requests to the OGAC Technical Support Advisory Panel for decision. Approved requests may be forwarded to GMS for action, or to another USG mechanism, depending on the length of work needed and the technical specialty.

In the case of field support assignments, USAID missions and USAID/Washington discuss CCM and PR TS needs before determining which of the available USG mechanisms is best suited to respond. If selected as the preferred option, GMS works with the mission to develop a scope of work. USAID/Washington keeps GMS informed of the progress of mission field support processes. Field support assignments usually begin once USAID/Washington modifies the GMS contract to include field support funds.

GMS sets its assignment process in motion as soon as approvals are communicated: this includes preparatory dialogue and clarifications with the CCM or PR, the relevant fund portfolio manager at the Global Fund, USAID/Washington and USAID/mission; calls to all 28 GMS partners to identify a team of consultants; and upon approval of the team, initiation of assignment logistics. GMS teams usually include two to four international and local consultants—the configuration depending on the needs of the CCM or PR and the timelines for the activity. The assignments, which are normally active for one year, offer up to 90 days of international and 50 days of local TS, structured over two-three trips in-country. These contractual ceilings allow GMS to focus on urgent and time-bound priorities for which results can be achieved in short timeframes.

Effect of the evolving Global Fund context on Objective 1

PY2 activities have been shaped almost entirely by the evolution of new Global Fund policies, processes and systems in the transition to the NFM. While GMS expected an increasing volume of assignments for grant making, PY2 assignments focused heavily on support to CCMs to complete new CCM eligibility requirements for concept note submission. Although GMS had expected to meet the annual target of 60 assignments, far fewer were received, as CCMs and country stakeholders waited for news of their funding allocation and then focused on country dialogue and concept note development, mobilizing others technical support resources able to respond to these phases of the NFM.

GMS work with CCMs changed very significantly in PY2. The alternatives of governance or oversight assignments—the norm from 2007-2013—no longer apply. Instead, CCM assignments are characterized by their position on the Global Fund's EPA and their PIP continuum. All but one PY2 CCM assignment had some relationship to the EPA process: moving forward, all future CCM work will include facilitation of EPAs, development of PIPs and delivery of STTS to address relevant needs—including oversight strengthening—identified in PIPs. For

PR work, GMS hovered at the gateway between the rounds-based grant model and the NFM, continuing to shepherd some of the remaining Phase 1 grants through Phase 2 renewal. Until September 2014, only two countries submitted requests to support grant making, both from early applicants (Kazakhstan and El Salvador). To round out the PR support work, GMS technical PR managers oversaw six PR dashboard pilot assignments (with seven PRs), in Senegal, Cote d'Ivoire, Uganda, South Africa, Laos and the Dominican Republic. *These pilot activities are described in the Objective 3 section of this report.*

The evolving clientele

New GMS clients emerged in the past year as well. The far more extensive involvement of the country teams and of the CCM Hub at country level generated new expectations of contact and responsiveness from TS providers such as GMS. While the CCM or PR used to be the exclusive client of GMS, the country team and CCM Hub are now secondary clients as well. Balancing GMS's obligations of confidentiality to its country client with the new expectations of its secondary Global Fund Secretariat client has been a challenge for PY2. Furthermore, in countries where GMS support is financed through a field-support buy-in, the USAID mission considers itself the primary client.

Focus on quality assurance

In response to this evolving situation, GMS's objective 1 team has focused on ensuring quality of service. Communications with USAID have been frequent and candid: the contracting officer's representative and team are aware of issues as soon as GMS learns of them and, similarly, share feedback from the Global Fund and USAID missions on the performance of GMS teams as needed. GMS Objective 1 technical managers have welcomed and acted on feedback from USAID, from the Global Fund and from CCMs and PRs.

To ensure effective communication with the Global Fund, GMS has worked to ensure overlap between the trips made by its own teams and those made by Global Fund country teams in-country. The technical managers continue to provide in-depth technical oversight to teams through visits, regular telephone and Skype meetings, and review of draft products. During this year of transition to the EPA, GMS filled an opening left in the Objective 1 team at the end of PY2 by adding a new francophone CCM Manager (50%) based in Morocco. The two CCM technical managers maintained at least biweekly contact with GMS teams carrying out EPAs, as well as monitoring draft products through the Global Fund's password-protected online EPA system.

Finally, seamless operations are essential for the success of assignments: the GMS logistics and finance and administration team contribute significantly to overall program quality, by ensuring that teams are where they need to be when they need to be there, and with access to the resources and tools they need to deliver results. Investment in high-quality logistics, a GMS hallmark, remains one of the hidden strengths of the Objective 1 team.

2. CHARACTERISTICS OF PY2 ASSIGNMENTS

Total assignments, PY2 and Life of Project

GMS plans for a total of 240 assignments, estimated at 60 assignments per year over the first four years of the project. As of September 30, 2014, GMS had received 40 assignments in PY2 and a total of 82 assignments for the LOP. Of the PY2 assignments, 24 (60%) were for CCMs and 16 (40%) were to support PRs. One medium- to long-term assignment was approved in PY2 (Liberia CCM). All but one new CCM assignment in PY2 included either EPAs or support for implementation of PIPs in cases where EPAs had been completed by other technical service providers or by GMS in preceding assignments.

LOP distribution between CCM and PR management (PRM) assignments is 61% for CCMs and 39% for PRM. As a comparison, at the end of PY2 in GMS1 the distribution among 40 new assignments was 32% CCM and 68% PR, just the opposite.

With these new assignments, GMS has been sent to 53 countries and one region (Western Pacific). Three of the PY2 countries are entirely new clients to GMS: Ethiopia, Rwanda, and Somalia.

GMS has worked with 15 of the 23 Global Fund high impact countries, including 12 of the 14 high impact African countries.

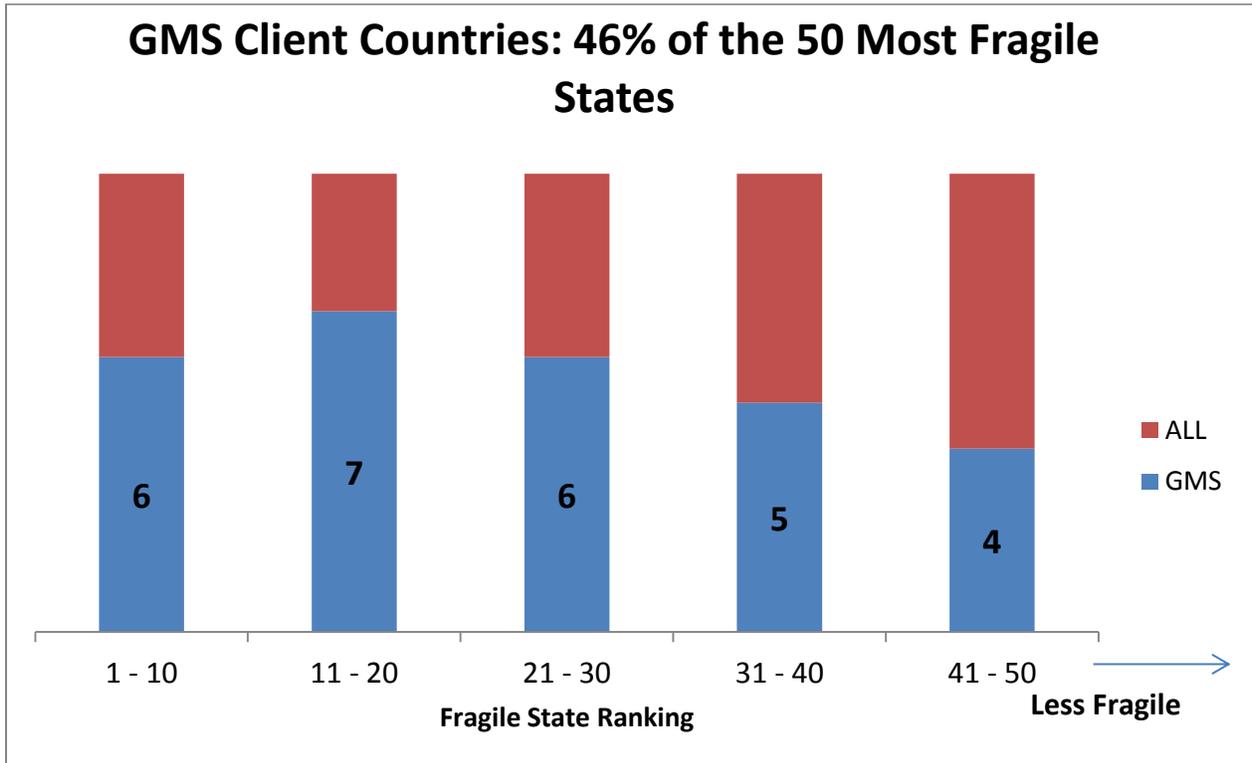
USG focus countries: The table below shows that 72% of GMS clients are also priority countries for the USG's PEPFAR (HIV/AIDS), President's Malaria Initiative (PMI) or tuberculosis focus programs. This concentration will continue to increase in PY3 as a result of the modifications in the geographic "footprint" of USG support announced under PEPFAR3.

Table 1. GMS assignments in countries by Global Fund geographic region

GMS2 Since Inception	
Africa High-Impact 1 Countries	Africa High-Impact 2 Countries
Congo (Democratic Republic)  Cote d'Ivoire  Nigeria  South Africa 	Mozambique  Tanzania (United Republic)  Uganda  Zambia  Zanzibar Ethiopia  Kenya  Zimbabwe 
Asia High Impact	South and East Asia
Bangladesh  India 	Cambodia  Lao (People's Democratic Republic of) Malaysia Multicountry Western Pacific Papua New Guinea  Solomon Islands Thailand Timor-Leste
Southern and Eastern Africa	West Africa
Lesotho  Multicountry Africa (RMCC) Multicountry Africa (SADC) Swaziland  Rwanda  Angola  Botswana 	Cameroon  Chad  Guinea  Mali  Niger Senegal 
Central Africa	Middle East and North Africa/MENA
Benin  Burundi  Liberia  Malawi 	Central African Republic  Mauritania Morocco South Sudan  Tunisia Somalia 
Latin America & Caribbean/LAC	Eastern Europe and Central Asia/EECA
Dominican Republic  El Salvador Guatemala Guyana  Haiti  Nicaragua	Bosnia and Herzegovina Georgia  Kazakhstan  Kyrgyzstan Tajikistan 
LEGEND  PEPFAR  TB USG  PMI	

Fund for Peace Fragile States index: The chart below shows GMS countries ranked according to the Fragile States Index of the Fund for Peace for PY2 as well as for LOP. Of the 50 most fragile states, according to this index, GMS has worked with 23.⁷

Figure 3. GMS country clients ranked by fragile states category



Types of Principal Recipient Assignments

The following graphic displays the breakdown of PR clients by type of organization. Almost half of GMS's PR clients are ministries of health, while about a quarter are international or national NGOs. This distribution is different from the Global Fund portfolio of PRs. Of the non-multilateral PRs in the Global Fund portfolio 60% are from the governmental sector, whereas 73% of PRs GMS has worked with are from this sector; 37% of PRs in the Global Fund portfolio are national or international NGOs while 23% of PRs GMS worked with in PY2 belong to this category.

⁷ The data were collected by the Fund for Peace ffp.statesindex.org/

Figure 4. Type of PR for Global Fund grants that GMS worked on

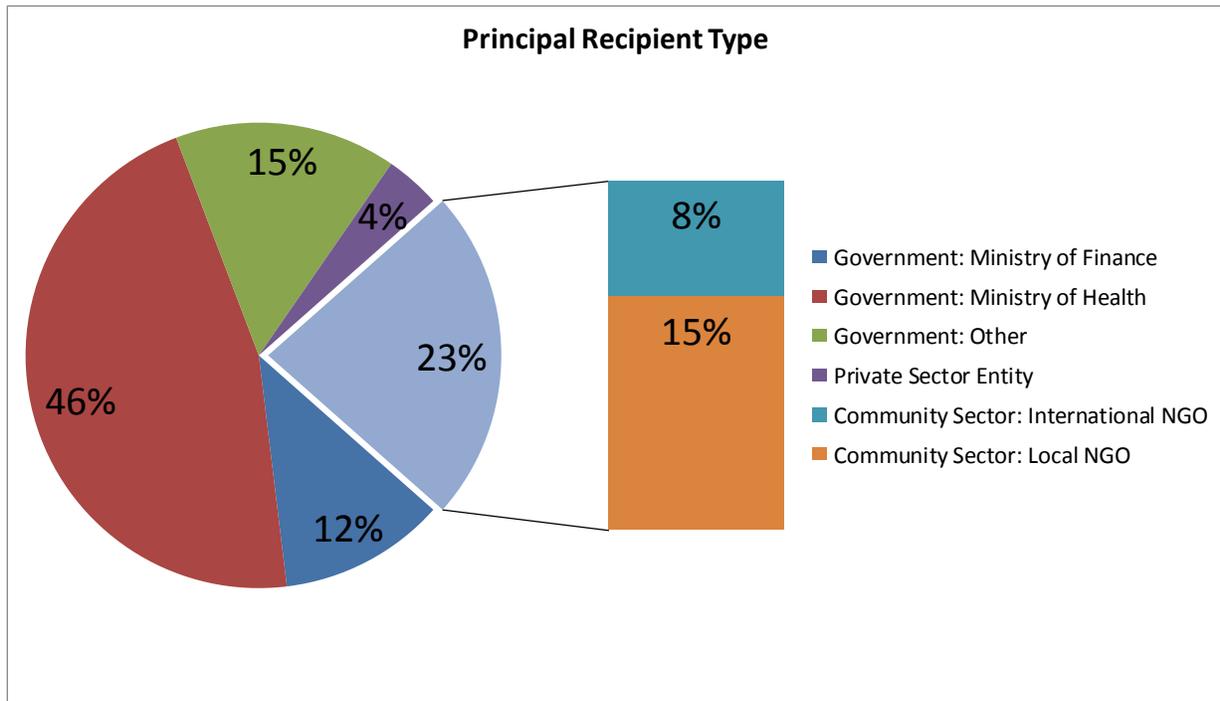
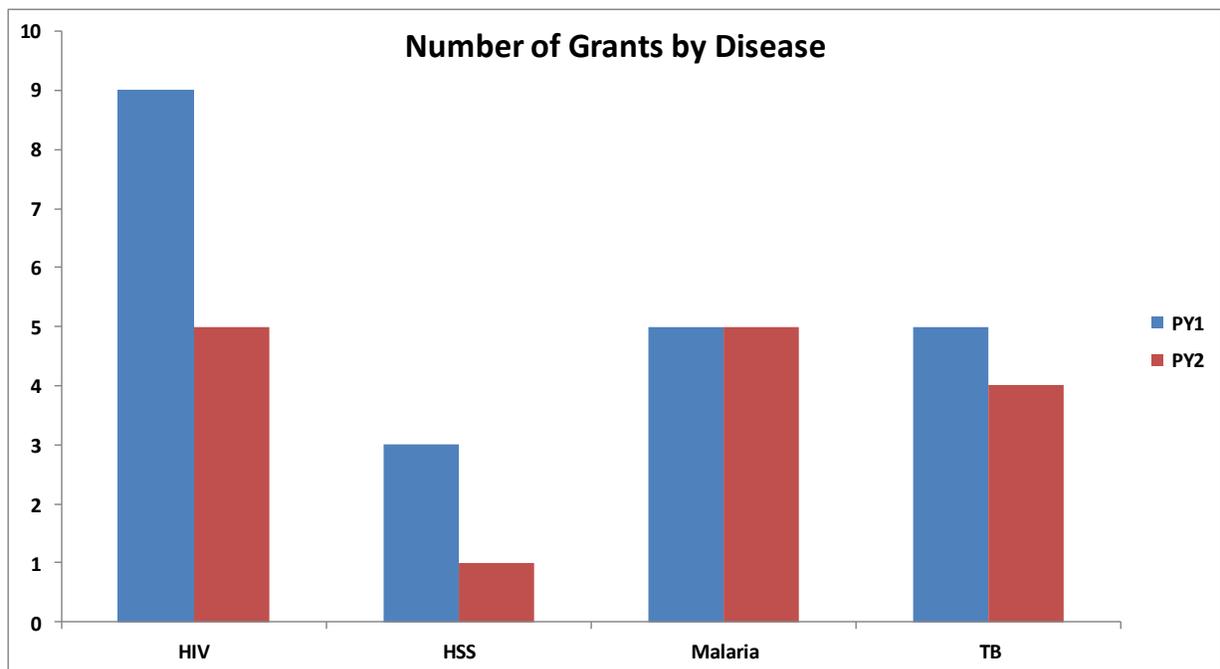
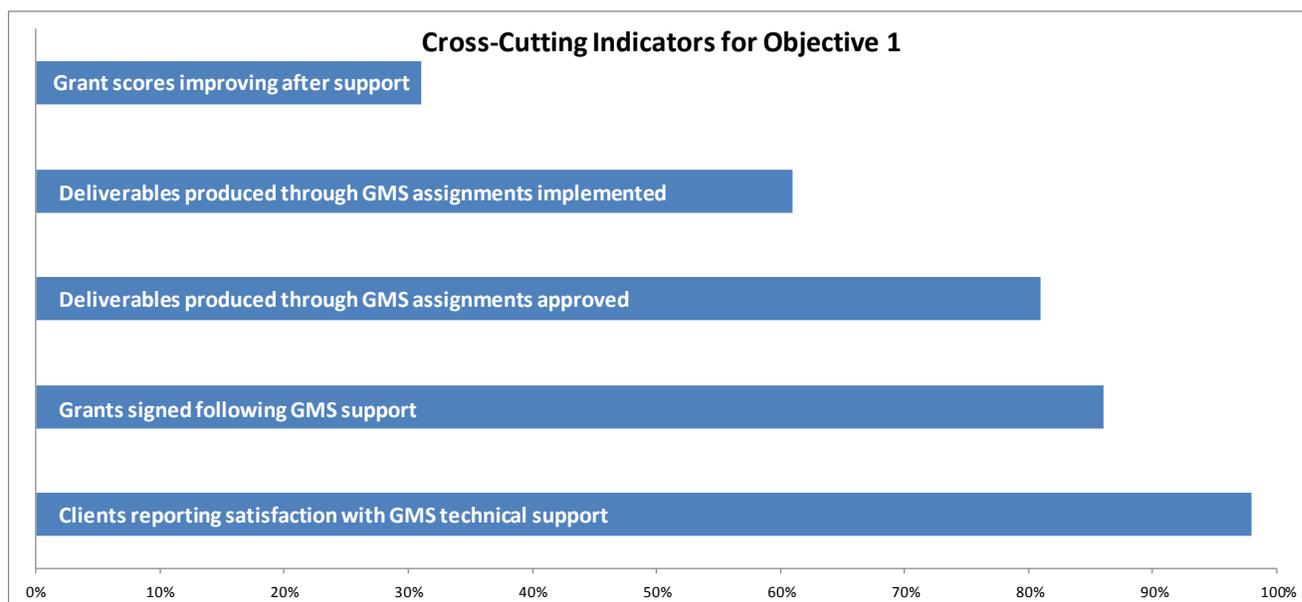


Figure 5. Number of Grants by Disease



The chart above shows the distribution of PR assignments by disease or health systems strengthening (HSS). Although the numbers are small, the chart shows that, especially in PY2, GMS work is fairly evenly distributed among the three diseases, with less work focused on exclusively HSS grants than on other grants.

Objective 1. Results for Cross-Cutting Indicators



This figure shows GMS’s progress toward its two-year cumulative targets. The impact indicator for the entire project appears first in this figure (“Grant scores improving after support”). This indicator is measured at 12 months after the end of an assignment and shows 50% achievement of the target. Since only five GMS assignments reached the 12-month reporting stage by the end of PY2, the impact of most GMS2 assignments has not yet been measured. Of greater interest is the comparison between deliverables (such as governance manuals or work plans) that have been approved by the CCM or PR and/or Global Fund (100% of target) and those that have been actively implemented by the client (87% of target). Implementation is what gives rise to real change. GMS will continue to follow these grants in PY3 for evidence of internalized management reform.

3. SUPPORTING COUNTRY COORDINATING MECHANISMS IN PY2

3.1. THE ELIGIBILITY AND PERFORMANCE ASSESSMENT: CHANGING REQUIREMENTS AND MINIMUM STANDARDS FOR COUNTRY COORDINATING MECHANISMS

GMS started its first Global Fund EPA in November 2013, in South Sudan and, since then, has completed EPAs in 22 countries. GMS has received a total of 31 EPA assignments to date. As shown in the pie chart, EPA work now constitutes the majority of CCM work in GMS. Of the 31 EPA assignments, 15 were approved in PY2 and nine assignments are still underway. (In PY2, GMS received only one CCM assignment that is unrelated to EPAs. This is CCM-Somalia assignment, which was approved in PY2 and will be carried out in PY3.)

The EPA process designed by the Global Fund walks CCMs through a rigorous review in three overarching “pillars”: in pillar one, the focus is on facts, as evidenced in document reviews. Pillar two serves to deepen the understanding gained from desk reviews, through interviews with key stakeholders and begin the analysis process. Pillar 3 is designed to allow for finalization of analysis and development of a PIP, which requires clear activities, with defined milestones. The EPA requires the support of TS providers: while high-performing CCMs might be able to conduct self-assessments in the future, in this first year of EPA rollout, the majority of countries completed EPAs and the PIPs with TS.

After the EPA process had started, USAID, GMS and the Global Fund agreed that GMS would focus on “full-service” assignments—those in which the CCM completes the EPA and PIP in a first trip, and receives TS for PIP implementation and overall strengthening in two subsequent trips. The table below illustrates the impact of these decisions on the type and variety of EPA assignments of GMS in PY2 alone:

Type of EPA assignment completed by GMS	No.	Countries
EPA facilitation only	1	Burundi
EPA plus performance improvement support	18	South Sudan, Swaziland, Guinea, Dominican Republic, Nicaragua, Cambodia, Nigeria, Liberia, Cameroon, Lesotho, Angola, Rwanda, Thailand, Ethiopia, Kenya, Botswana, Tajikistan, Malawi
Post EPA, GMS TS support performance improvement only	7	Kazakhstan, Dominican Republic, Bangladesh, Mozambique, Zimbabwe, South Sudan (India has been approved but has not yet started)
EPA add-ons to CCM assignments already underway	5	Guatemala, Chad, Kyrgyzstan, Tanzania and Zanzibar

New EPA clients for GMS

The approved requests from Ethiopia, Rwanda, Kenya and Botswana opened a new chapter in GMS, expanding the number of GMS-client countries and providing new challenges requiring innovative solutions.

Both Ethiopia and Rwanda CCMs were confident they would pass their EPAs immediately since both countries are known for high performing PRs and high ratings for grant implementation. In Ethiopia, the CCM and GMS scheduled the assessment phase of the EPA to take place during the week preceding submission of a concept note. The team returned to Addis a week later, following concept note submission, to assist the CCM with implementation of its PIP.

In Rwanda, the CCM did not agree with EPA findings. Although the CCM recognized that it did not comply with several eligibility requirements and minimum standards, it initially chose not to include activities to address gaps in these areas in its PIP. Once the Global Fund Secretariat clarified that further funding was contingent on CCM eligibility, CCM-Rwanda agreed to continue to receive TS from GMS to implement a revised PIP.

These EPAs demonstrated that both CCMs needed structural changes (such as establishment of an oversight committee) and a review of their composition and representation of membership so as to meet Global Fund eligibility requirements for further funding. Both CCMs initially resisted the reforms needed to respond to the EPA, emphasizing instead the unique context in their countries. Supporting CCM-Ethiopia and CCM-Rwanda to work within the new requirements required diplomacy, negotiation and communication skills, and strong technical knowledge from GMS consultants. GMS

Carrying out EPA in fragile states: armed conflict interrupts the GMS South Sudan CCM assignment

USAID approved an assignment to South Sudan at the end of PY1: GMS started work in Juba in early PY2. The first visit focused on facilitating an EPA---GMS's first ever EPA, considered a "pilot" EPA. The Global Fund had determined that South Sudan would submit a concept note in May 2014, creating a deadline for completion of South Sudan's EPA and progress with the PIP. The EPA electronic platform had not yet been finalized, thus the team used the early Excel templates for both EPA and PIP.

The GMS team's second visit in November 2013 aimed to enable the CCM to begin reforms defined in the PIP implementation. However, armed conflict and political instability interrupted the work and prevented GMS visits.

The CCM made no progress with the PIP implementation for six months. In July 2014, GMS resumed providing TS by updating PIP plan, finalizing development of documentation and seeking endorsement of the oversight plan, budget and oversight committee establishment.

The CCM requested additional TS to advance the PIP implementation to ensure its compliance with the Global Fund requirements and to strengthen the CCM secretariat. This request was approved in August 2014; and GMS mobilized the same team to return to Juba in early September so as to maintain momentum. However, the team found on arrival that the CCM and its secretariat faced the Global Fund country team's investigation on financial irregularities that had occurred during the period of escalated conflict. Because of these events, the next visits to South Sudan have been postponed until the resolution of this issue and until the new secretariat staff is hired.

consultants exercised substantial flexibility in meeting the CCMs' expectations without compromising the spirit of good governance principles and CCM compliance with the eligibility requirements.

Elsewhere in East Africa, the Kenya CCM made its request for TS to OGAC with sufficient lead time for TA providers to complete the assessment and begin implementing activities in the PIP. More importantly, the EPA results – which disappointed the CCM – helped mobilize its membership to commit to implementing reforms before concept note submission in January 2015.

Botswana illustrates the contribution of thorough GMS preparation prior to a first visit, to the successful start of the EPA process. The preparatory work that preceded visit one helped the GMS team build a good rapport with the CCM and obtain the CCM's full commitment to successful implementation of the PIP in accordance with the deadlines.

Challenges with the updated requirements and minimum standards

By introducing the new eligibility and performance framework with its EPA tool, the Global Fund aims at increasing the accountability of CCMs for good governance. The EPA exercise is now a prerequisite for concept note submission. Many CCMs did not realize that the EPA process requires time and effort, and waited until the last moment to conduct the EPA. This has resulted in conflicting NFM priorities for CCM time, including leading country dialogue and coordinating concept note development. The consequence for CCMs is that members and stakeholders may not have the time needed to commit to the EPA. In this first year of EPA rollouts, there was resistance: few CCMs immediately agree with EPA results. Many CCMs believed they are performing at higher levels than the EPA showed; others did not validate the ratings, reasoning that doing so might adversely affect review of their concept notes.

Because almost all EPA-driven assignments are time-bound by concept note submission deadlines, and because delays in beginning the assessment further compress the time available to conduct EPAs, the number of months available to GMS for carrying out CCM assignments has decreased. Prior to EPAs, GMS trips were spaced to allow CCMs to think through the needed changes and carry out reforms at their own pace. The new tight time lines force CCMs to rush through reforms, potentially threatening the sustainability of change. This has been particularly evident in two areas: first, CCM membership renewal, especially renewals prompted by a need to revise CCM composition to include people living with the diseases and representatives of key populations and to minimize conflict of interest among members. The revision and renewal process usually took place over a full year; compressing the important mobilization activities to meet EPA and concept note deadlines compromises the quality of a renewal. Similarly but not as critical, reforms to write an oversight guide and put in place an oversight committee can be carried out quickly. However, six months are often needed to accompany a new oversight committee through a full oversight cycle: It takes about six months for a CCM to internalize new responsibilities and skills, given that most grants now report on a semi-annual basis.

It is crucial for CCMs to understand that they have ultimate responsibility for meeting the eligibility criteria and new minimum standards: TS providers can help in certain areas, but many required actions take more time than most TS providers can offer.

Among the new challenges of the updated requirements and new minimum standards, perhaps none is greater than the substantially amended Requirement #4, which now includes a clause expanding CCM representation to include KPs. For a number of CCMs, this amendment represents a real challenge given the legal and organizational status of KPs in their countries. KPs such as sex workers, men having sex with men, migrants and others may be criminalized or highly stigmatized, or may simply lack any organized constituency to represent them. In other countries, the capacity of organizations is so weak that meaningful representation is impossible. Requirement #4 asks CCMs to do more than they have before. GMS teams consider these challenges a call for workable, context-driven solutions that lead to full eligibility and strengthened performance. To ensure the quality of EPAs and PIPs, GMS applied several quality assurance measures.

Quality assurance measures for eligibility and performance assessments

Preparation: The CCM technical manager conducts 1.5-2 hour orientations for each team leader (often for full teams).⁸ These orientations explained the EPA process including how to navigate through the EPA Tool, discussed what are high-quality EPAs and PIPs, and identified potential challenges and how to address them.

Supervision: During the EPA visits, a CCM technical manager maintains ongoing communication with the team members and backstops them technically. If necessary, a CCM technical manager accompanies the team on the EPA visit to ensure smooth implementation or helps teams negotiate difficult situations.

Coordination: The CCM technical manager maintains ongoing communication with the Global Fund CCM Hub and country teams, initiating in-briefs and debriefs to discuss the findings, challenges and steps forward. In July 2014, the CCM Hub decided to standardize the approach to EPA across TS providers to ensure the quality and integrity of the EPA process and of all consultant deliverables related to the EPA. The CCM Hub required all TS providers to assign technical oversight of EPAs to a technical manager (similar to the GMS technical manager) and defined a set of responsibilities for technical managers to ensure high quality of EPAs and PIPs.

⁸ If an EPA team is managed by another GMS technical manager for linguistic reasons, the CCM technical manager provides technical oversight of the EPA products.

Training on EPA

...for oversight: In late-August 2014, GMS conducted EPA training for all its technical staff and GMS leadership to ensure a common understanding of the EPA process and the EPA Tool.

...for CCM consultants carrying out EPAs: In September 2014, GMS conducted EPA training for its consultants and team leaders in collaboration with the Leadership, Management and Governance (LMG) project (provided five participants). See Part 2 of this report for more details.

Clarifying GMS approach to KP expertise: To complete its quality assurance process, in September 2014, GMS developed a policy on GMS's approach to Key Populations. *See Part 4 of this report for more details.*

Coordination with other technical support providers on eligibility and performance assessment work

The greater coordination of the CCM Hub resulted in more opportunities for GMS to collaborate with other TS providers and individual consultants in the last year, including the following:

- In Zimbabwe, the Government of Zimbabwe carried out the EPA. GMS provides follow-on support to the PIP in coordination with a GIZ BACKUP Initiative team.
- In Liberia, GMS collaborates with GIZ BACKUP Initiative–sponsored consultants focusing on civil society
- In Burundi, GMS collaborated with the French 5% Initiative in conducting the EPA and implementing the PIP.

Collaboration with UNAIDS was helpful in Bangladesh, in particular for mobilization and for elections of civil society and of KP representatives; and Mozambique (GMS and LMG both worked in Mozambique), GMS and LMG both work; and helped turn around reforms of CCM-Guinea.

3.2. NON-EPA COUNTRY COORDINATING MECHANISM ASSIGNMENTS

GMS carried out one non-EPA–related governance assignment in PY2.

3.3. AFRICAN CONSTITUENCIES ASSIGNMENT: IMPLEMENTING GOVERNANCE REFORMS FOR GLOBAL FUND BOARD CONSTITUENCIES

In 2013, the task force of the Eastern and Southern Africa (ESA) and West and Central Africa (WCA) constituencies to the Global Fund Board received approval from USAID for GMS support to continue implementation of the governance reform initiated in 2011 (under GMS1), which produced a new governance framework. The objective for the second phase of the reform is to support establishment of a joint ESA and WCA bureau, whose scope will be to provide policy

analysis to the delegations and ensure that issues of importance to member countries are raised in Global Fund meetings, agendas and strategies.

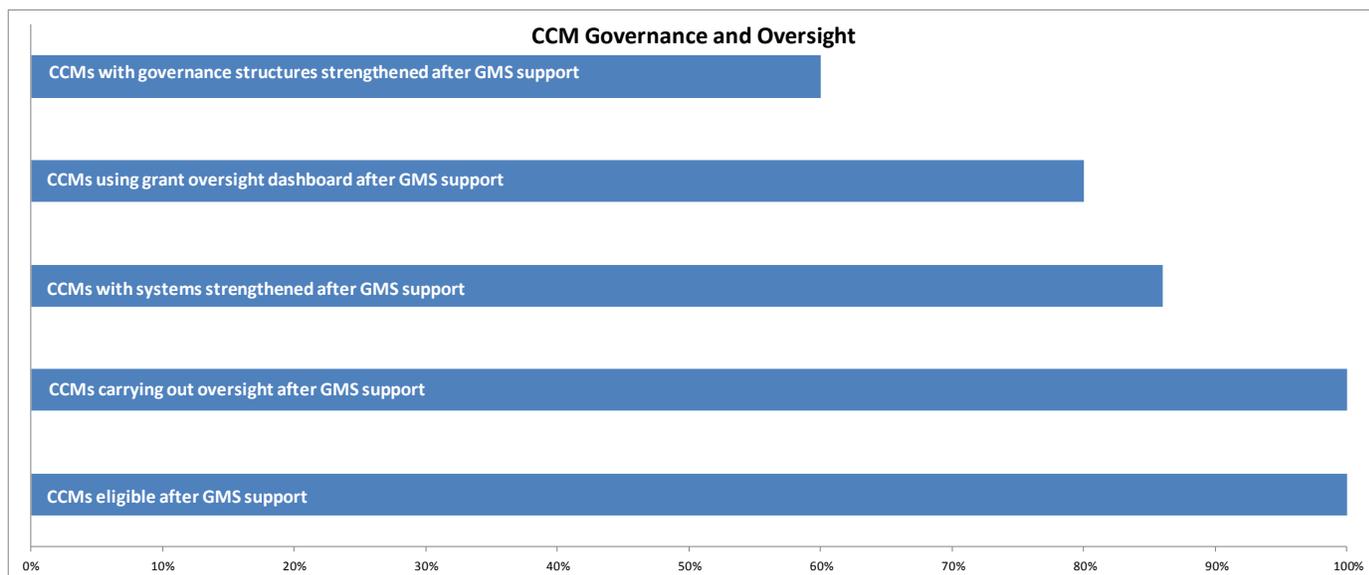
During PY2, the African constituencies assignment gained momentum:

- ✓ GMS finalized documents to guide the establishment of the African constituencies bureau, with details on topics such as legal status; organizational structure and chart; approaches and criteria for selecting a host country; scenario-based budgets; and resource mobilization strategy
- ✓ GMS drafted a concept note for two-year funding, which the task force submitted to the Bill & Melinda Gates Foundation (BMGF) in March 2014

GMS continues to support the task force, focusing on:

- ✓ Securing funding for provision of policy analysis during interim “start-up” phase: GMS finalized a concept note to the BMGF for supporting the delegations while a bureau is being established. The BMGF contracted through the New Ventures Fund with the African Population and Health Research Center at the end of PY2 to provide policy analysis to the delegations.
- ✓ Securing funding for the first two years of operation of the bureau, through drafting a new funding concept note
- ✓ Establishing a bureau: GMS’s original scope remains unchanged—to help the task force establish systems and procedures for the bureau
- ✓ Seeking a country interested in hosting the joint ESA and WCA bureau: Four countries responded to the call for expressions of interest issued jointly by Minister Asiimwe (Global Fund Board member, ESA) and Minister Chukwu (Global Fund Board member, WCA) in February 2014—Ethiopia, South Africa, Togo and Zambia. GMS and two constituency representatives conducted a site visit to Ethiopia (top-ranked respondent); and will visit the number 2-ranked country if needed. At this writing it appears that the Joint Bureau for the African delegations to the Global Fund Board will be established in Addis Ababa.

Objective 1. Results for CCM Governance and Oversight



This figure shows GMS’s progress toward its two-year cumulative targets for CCMs. The most significant result is that the Global Fund Secretariat deemed all CCMs assisted by GMS to be eligible for Global Fund funding. The GMS target was that 70% of CCMs it supported be deemed eligible for funding; hence GMS reports an overachievement at 143%. Not surprisingly, all CCMs for which GMS had reports at end-PY2 were carrying out oversight—carrying out oversight is Global Fund eligibility requirement #3—whether or not they used dashboards.

3.4. SUPPORTING PRINCIPAL RECIPIENTS TO IMPROVE GRANT PERFORMANCE

PR assignments have continued to be cross-cutting, usually involving two or all three of GMS’s PR technical areas of PSM, grants management (including financial, risk, human resources, and partner/SR management), M&E and reporting. With the PR assignments from PY1, GMS moved gradually from assisting the final group of Phase 1 grants to transition to Phase 2, through support to early applicants to the NFM, ending the year with GMS’s first grant-making assignment from a concept note.

New approaches for PR management support: Implementation Mapping

Implementation mapping is a new requirement of the New Funding Model. Implementation maps show the PR, SRs, and sub-SRs involved in grant implementation and indicate how funds, assets, drugs, and data flow between them. These maps are instrumental in identifying potential bottlenecks and systemic risks and in devising ways to mitigate them. The maps must be prepared during concept note development and updated during the grant making stage: they are seen as risk management instruments.

GMS PR consultants will be supporting PRs in preparing grant implementation maps according to the format and approach sought by the Global Fund. The GSM PR technical manager collaborated with Objective 2 team to provide a two-part webinar on implementation mapping for consultants. *See also Part 2 of this report.*

Support for single technical areas

Only two PY2 assignments focused on single technical areas. For the Zanzibar Ministry of Health, GSM focused on financial management strengthening. Support was structured to best ensure sustainability, given the fragility of staffing arrangements for grant management. In addition, support was organized with a smaller than normal team undertaking a larger than normal number of trips, to favor continuity and communication over time. This approach was made feasible by using regionally-based Swahili-speaking consultants from GSM's Nairobi-based regional partner ALMACO. The support is expected to be finished in late 2014.

The other stand-alone technical assignment provided procurement and supply management support to the National Malaria Program in the Republic of Côte d'Ivoire. The purpose of this assignment was to support the *Programme national de lutte contre le paludisme* (PNLP) (national malaria program) in addressing conditions precedent (CP) related to ordering malaria products needed for year 5 of Phase 2 of the Round 8 malaria grant, defining product needs that can be integrated into the national strategy, and developing innovative strategies to strengthen PNLN capacities in product distribution, managing the product information system, and improving the quality-assurance system. At the end of the assignment, the CP was lifted and an emergency order was sent to the Global Fund. The quantification exercise was completed. And the PR staff was trained on innovative strategies for distribution of malaria products (mainly the bed nets).

Support to the final Phase 2 and RSS transitions

While the Global Fund ceased approving new Phase 2 grants as of January 1, 2014, (grants are instead to be transitioned into the NFM), a few grants had previously been approved for which implementation under the previous funding architecture was allowed. GSM supports three such Phase 2 transitions.

In Georgia, a change of PR for Phase 2 for two grants was required by the Global Fund. GMS assistance began in February 2014, to support the new PR (National Center for Disease Control) through Phase 2 signature, program transition from the previous PR and implementation start-up. A cross-cutting GMS team provided support across the range of procurement and supply, monitoring and evaluation, grant and SR management functions, including holding a Monitoring and Evaluation and Systems Strengthening Tool (or MESST) workshop for both grants. Startup was successfully achieved: the PR received a first disbursement for HIV/AIDS of \$6 million in June and a second disbursement for tuberculosis of \$955,848 in July 2014 (total disbursement to date = \$1.9 million).

GMS also supported Senegal's Phase 2 Tuberculosis Round 10 grant and Morocco's Round 10 Phase 2 HIV/AIDS and Tuberculosis grants. The three grants were signed with no major conditions precedent and no major changes in the budgets prepared with the support of GMS teams. In Senegal, the GMS team was composed exclusively of Senegalese consultants, all of them having GMS training and experience. This grant has recently been rated B1. The team leader for the Morocco assignment was a GMS-trained Moroccan procurement logistics expert. Both Moroccan grants received disbursements in October 2014.

Niger Round 10 health systems strengthening (HSS) – success is better late than never

Niger was one of the first GMS 2 assignments: the support was to help the national PR (le Fonds Commun) to develop and submit in three weeks the presignature files (budget, M&E, PSM plan and a risk management plan) for a Round 10 HSS grant for health systems strengthening. The PR went through a Local Fund Agent assessment. In February 2013, during negotiation for grant signature, which took place in Morocco due to unrest on the Niger/Mali border, the country team decided not to continue with the Fonds Commun and to seek other options for finding a new suitable PR. (Niger is a country under the additional safeguards policy). GMS work ended.

One year later, GMS received an e-mail from the Niger Fund Portfolio Manager congratulating the GMS team for the quality of its work and saying that the same presignature file prepared with GMS support was being used by the new PR (Save the Children) to sign the HSS grant. Implementation began in June 2014 and the PR has received a disbursement of \$1.6 M.

Support to new funding model early applicants El Salvador and Kazakhstan

During PY2, GMS carried out its first PR assignments with PRs under the New Funding Model for very specific support to Early Implementer grants for which limited and targeted support to the PRs was provided.

In El Salvador, GMS provided TS to PR Plan International (PLAN). Along with the Ministry of Health, PLAN was selected as a second PR to implement an HIV/AIDS prevention and treatment program. GMS assisted with the development of a PR/SR operations manual, including financial and M&E aspects. The GMS team also provided support to the review of grant agreement documentation (performance agreement, budget, work plan); selection and training of SRs; development of accounting and financial management systems and procedures; and review

and adjustment of M&E processes. Reviews of grant-related documentation led to negotiations and adjustments that were approved by the Global Fund. All other deliverables were duly approved and are in operation. This grant has not yet received a performance rating.

In Kazakhstan, support to the National Center for Tuberculosis Problems was provided to address weaknesses in accounting and financial management, monitoring and evaluation, SR management, information security and human resource management prior to signature of the NFM grant. This provided experience in the close engagement with the Global Fund's fund portfolio manager during grant making. This grant is not yet posted on the Global Fund website.

Support to new funding model grant making: Nigeria's malaria concept note with two principal recipients

In August 2014, a Nigeria request marked the onset of complex grant-making assignments. The Nigeria request was approved for a four-team assignment to accompany two PRs—the National Malaria Elimination Program and the Society for Family Health (a national nongovernmental organization (NGO))—in the grant-making phase in anticipation of grant signature. The Nigeria work, which started at the end of PY2 and will be completed in the first quarter of PY3, gives GMS technical managers the theory and practice they require to oversee teams as grant-making assignments increase. The first grant making assignment “has it all:” scale (over \$500 million and coverage in 24 of Nigeria's 36 states), PSM for a malaria grant in the context of a national ICCM program, establishing national performance targets prior to selection of SRs, engagement of the USG in a PMI priority country, and the challenges of ensuring compliance with the Global Fund requirement regarding Nigeria's ability to contribute national funds to the grant. The Nigeria assignment will also form the basis for redesigning the PR components of the GMS PY3 boot camp.

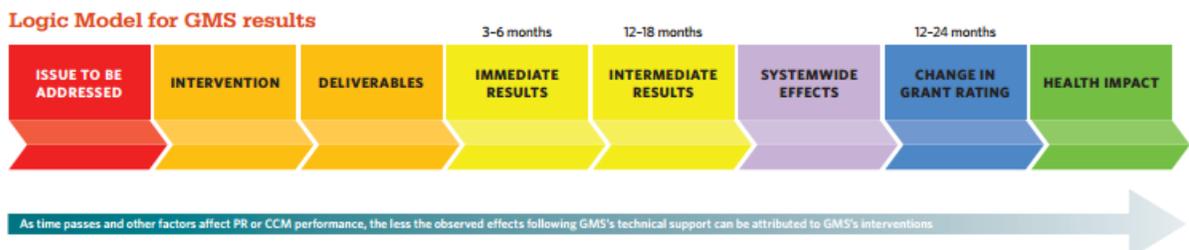
Supporting the principal recipient dashboard pilot in six countries

The GMS Objective 1 team was responsible for managing the PR dashboard pilot assignments in six countries: Dominican Republic, Senegal, Cote d'Ivoire, South Africa, Uganda and the People's Democratic Republic of Laos. The technical aspects of these six assignments, which represent almost 40% of total PRM assignments in PY2, are described in detail in Chapter 3 below. The PR dashboards were an opportunity to test S ability to manage logistically-complex assignments, with rigorous technical requirements, frequent workshops and additional expenses, with hand-picked teams of the best GMS consultants. The pilot assignments were completed on time: seven dashboards were established for seven PRs and 84 SRs. Grant performance will be monitored throughout PY3 to determine the effect of dashboards on management.

4. RESULTS

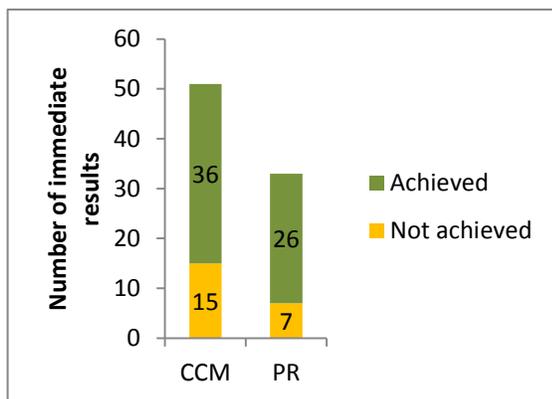
GMS's information management system (IMS), nearing completion in PY2, allows Objective 1 to capture results through the trip reporting system, which maps deliverables to immediate and intermediate results. In short-term TS assignments, immediate results usually mark the end of a key process or document and intermediate results, its application or implementation. The logical chain from technical assistance to results is portrayed in figure 6.

Figure 6. Logic model for GMS TS | Objective 1



Objective 1 keeps team leaders under contract for six additional months to carry out follow-up reporting; technical managers are responsible for 12-month reports. As of the end of the PY2, Objective 1 had completed 6-month end-of-assignment reports for 26 assignments, out of a total required of 31. The Kyrgyzstan 003KG assignment has not officially ended. The majority of immediate results, measured during the 6-month follow-up review, were achieved. Immediate results reflect CCM or PR decision making and use of GMS products or systems. For 12-month reviews, GMS technical managers completed 5 reports out of 12 scheduled. For CCM assignments all 8 of the planned intermediate results were achieved. For PRs, one intermediate result was expected but has not yet been achieved. The lower response rate for 12 month reviews, as compared to 6-month follow-on reviews, is in large measure due to GMS's difficulty in maintaining communication with client representatives who can provide credible responses regarding utilization of deliverables and institutional change.

Figure 7. Number of immediate results



This chart shows the number of immediate results that were expected, achieved (in green) or not achieved (in yellow) at the end of PY2 for the 26 assignments for which 6-month reports were completed.

The IMS does not capture qualitative data, and GMS likes to tell the story of its assignments, their challenges, and their results. The monthly meeting of the contracting officer representative (COR) usually provides an opportunity for this, as do the monthly report and the annual partners' meeting. Together, the quantitative and qualitative data on

immediate and intermediate results tell the story of a professional technical and logistics team with the expertise needed to guide consultants in 40 new assignments in PY2.

GMS continues to interview 3-5 client representatives (CCM, PR or for field support, mission officials) upon completion of the final TS visit. Findings are generally positive: as of the end of September, 2014 GMS had exceeded its target (80%) on the indicator “% of clients reporting satisfaction with technical support provided by GMS”, with 98% expressing satisfaction. GMS probes, in particular on open ended questions in the client satisfaction form, to understand what works, and importantly what can be improved to better meet CCM, PR and mission needs.

Principal recipient officials commented as follows

“I am very moved by the passion and commitment of the team of consultants. They have certainly assisted beyond their TOR, and worked very hard to get this completed in such a short turnaround time. (005MY)”

“... I am appreciative of the skills that they have transferred to the PR team. For example, the M&E experts would guide and train the staff on how to develop the performance framework, and the finance consultant would support the staff on developing a user-friendly budget.”

“Guide, not lead. Not only were they supportive, they empowered the PR to make decisions on our own, and have a sense of ownership to the program.”

“Dear GMS team,

The CCM submitted the request for renewal this afternoon. I find it hard to believe that after months of hard work, the proposal was finally submitted.

It was an honor and pleasure working with the GMS family. We at MAC learnt so much from you, and are very grateful for your dedication and hard work. We certainly had very difficult and intense discussions, but we worked well as a team. The proposal is possible because of your guidance and assistance.

Look forward to having a fruitful and exciting year ahead! And a Phase 2 grant.”

Country coordinating mechanism representatives commented as follows

“Despite the participants’ different levels of education and knowledge, each one attained the same level of understanding thanks to the team’s exemplary teaching skills. This was a particularly important achievement given the wide range of levels of education and knowledge among participants at the orientation.”

“These were high-caliber consultants The GMS process is participative: everything is discussed with the executive committee. All the topics raised were of interest to the CCM: the relevance of topics raised is a strong point. The areas discussed were very sensitive ones: for example, conflict of interest.”

PART 2. OBJECTIVE 2—CAPACITY BUILDING

Figure 8. Tier 2 Regional Partners call four continents home



Objective 2 At-a-Glance

Regional Partner Strengthening		Consultant Strengthening	
Wave 1 Tier 2 Regional Partners	6	Consultants in the GMS roster	421
Wave 2 Tier 2 Regional Partners	6	Face to face trainings in PY2	
Tier 2 Regional Partners with complete strategic plans	9	Boot Camps	49
Tier 2 Regional Partners with complete business plans	9	Team leader orientation	35
Global Fund contracts signed by Tier 2 Regional Partners	4	Specialty training: EPA	37 ⁹
Global Fund-related contracts completed	5	Asynchronous training	0
Innovation/JumpStart ideas	1	Introduction to Global Fund	91
Funds contributed by GMS	\$11,386	...the Alliance EPA	11
Funds leveraged ¹⁰	\$246,266	Webinars	0
		Implementation mapping	70
		Consultant certification (total)	
		Team members	92
		Team Leaders	30

1. INTRODUCTION: THE TWO MAJOR WORK STREAMS OF OBJECTIVE 2

Under its second objective (15-30% of GMS's work), GMS builds the capacity of local and regional entities on the one hand and of individual consultants on the other hand to provide management and governance TS including and beyond the GMS purview.

Objective 2, capacity development, comprises two streams of work. The first stream of work is designed to build the institutional capacity of regional partner organizations to offer TS services of GMS quality to CCMs and PRs in their regions through non-GMS contracts and assignments. The intent of this approach is to expand the availability of high quality TS in the Global Fund countries and regions.

⁹ The number 37 includes 32 from GMS and 5 from LMG.

¹⁰ Funds leveraged comprise support received from GIZ for the "Country Dialogue Project: (\$196,266) and from the Global Fund to support regional seminar activities (\$50,000).

The second stream of work builds capacity of individual consultants through blended and experiential learning approaches and establishes standards for consultant performance through the GMS consultant certification process. This work stream responds to the internal demand for high quality consultants for Objective 1 teams, as well as the technical capacity strengthening needs of the twelve regional partners.

The delayed surge in TS requests affected both Objective 2 work streams. The reduced or delayed engagement of smaller national and regional TS partners by the Global Fund (and the break in GIZ BACKUP Initiative funding), greatly reduced the opportunities for non-GMS contracts available to Tier 2 Regional Partners. The delay also reduced the number of consultants (trained and certified) required for assignments. GMS responded by modifying its training program.

The following chapter describes the activities and results of Objective 2 in more detail.

1.1. REGIONAL PARTNER STRENGTHENING

The updated regional partner strategy

In the original design for institutional strengthening by GMS, USAID proposed that GMS use a two-phased approach. During phase 1 (18-24 months) Tier 2 Regional Partners would undergo strengthening and capacity development focused mainly on five core organizational competency areas: (1) business development, (2) finance, (3) contracts, (4) operations and administration, and (5) technical oversight. After completing this phase, successful Tier 2 Regional Partners would "graduate" (become "phase II ready") and begin to market themselves as direct TS contractors to Global Fund beneficiaries while continuing to subcontract for Objective 1 TS for the remainder of the GMS project. A one-on-one mentor-mentee model between Tier 1 Partners and Tier 2 Tier 2 Regional Partners was proposed and a comprehensive capacity assessment tool was developed as the first stage in development of a phase 1 strengthening plan.

However, events in PY1 forced a series of revisions to this initial vision. The external TS financing environment was evolving rapidly. New time-bound opportunities precluded a long, slow strengthening process. Furthermore, the mentoring approach was producing highly variable results in fit and efficacy. At the end of PY1, GMS designed the "staggered marketplace approach" to encompass a range of organizational strengthening activities carried out as needed, at the same time as Tier 2 Regional Partners pursued new business. The new approach has been described fully in "A Business Strengthening Model for Regional Global Fund Technical Support Providers," released in September 2014.¹¹

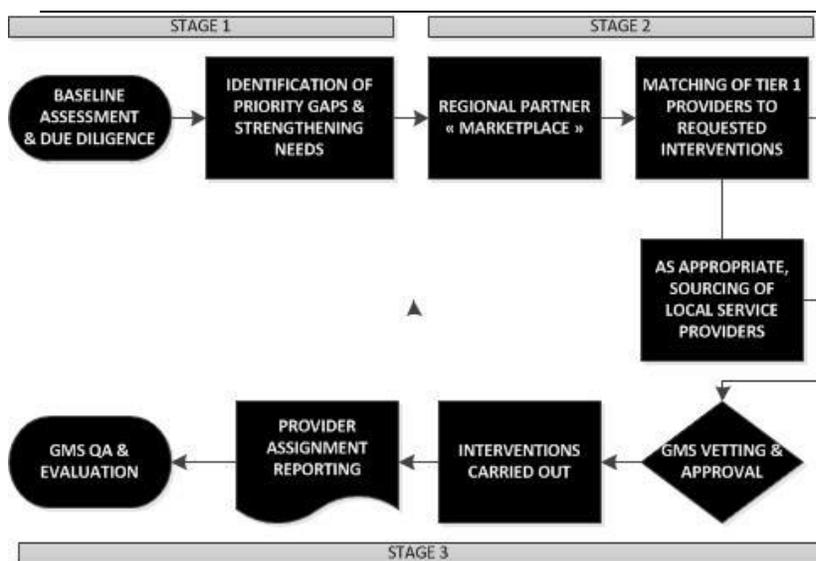
PY2 has been devoted to implementation of this approach. Strengthening interventions were carried out either by Tier 1 Partners or, as appropriate, by local service providers. GMS has systematically monitored the progress and business results of Tier 2 Regional Partners as they

¹¹ Trujillo, Maria F., Gibson Giraud, Clare, Madson, Lindsey, (2014). A Business Strengthening Model for Regional Global Fund Technical Support Providers. *How Grant Management Solutions created a model for strengthening its regional partners using a business-focused approach*. Print

implement the strengthening plan and build their capacity to achieve Global Fund-related business results.

Figure 10 depicts the flowchart for the Tier 2 Regional Partner strengthening process, starting from the baseline assessment and due diligence visit, and ending with quality assurance (QA) and evaluation by GMS.

Figure 9. Tier 2 Regional Partner Process



1.2. A NEW TOOL GENERATED BY GMS FOR COSTING AND PRICING

To help Tier 2 Regional Partners make the transition to a proactive business stance with regard to costing, pricing, and ensuring profitability, in PY2 GMS sponsored development of the Financial Modeling Tool for costing and pricing by Judith Seltzer and Edward Kyi (MSH) and Nyachienga Nyamache and Robina Omosa of the Kenya-based regional partner ALMACO. All Tier 2 Regional Partners have manifested significant interest in this tool and all twelve have been trained to use it.

The Financial Modeling Tool enables small organizations to understand their operating costs, which is vital if an organization is to price its services to include a viable margin for survival and growth. Many small organizations fail to cost and price adequately, thereby putting themselves at risk. They often rely on “break-even” strategies that may cover immediate costs but offer no financial “cushion” when revenues dwindle or dry up. To become sustainable, organizations must provide for some cushion funding, as well as funds for business development (client seeking), planned expansion or growth, and research and development (R&D).

Using the tool, Tier 2 Regional Partners can produce a spreadsheet with analyses of their costs and prices displayed according to the budgeting rules of a variety of potential Global Fund clients. The Financial Modeling Tool allows the Tier 2 Regional Partners to model potential net income (revenue after expenses) by entering costs (direct, indirect, fixed, and variable) associated with the design and/or delivery of a product or service. Tier 2 Regional Partners can then determine the possible revenue generated through the sale of products and services, depending on the price points and volume of sales.

The Financial Modeling Tool is one of the new GMS innovations of the year.

1.3. THE MARKETPLACE APPROACH

In PY2, to improve alignment between the services each Tier 1 Partner could provide and the needs of each Tier 2 Regional Partner, the Objective 2 team designed a marketplace approach to matching supply and demand. The first marketplace event was held during the first PY2 Regional Partners Meeting in October 2013. The Tier 2 Regional Partners learned about services offered by the Tier 1 Partners and then selected the services they required. This exercise allowed the Tier 2 Regional Partners to select a comprehensive package of services from those offered by more than one Tier 1 Partner.

The approach was adapted for the April 2014 Regional Partners Meeting during which Wave 2 Tier 2 Regional Partners participated for the first time. Before the April meeting, the Objective 2 team met with each Tier 1 Partner to review and discuss on work carried out to date and plan the upcoming year's interventions to align with ongoing needs. Tier 1 Partners were instructed to present only the services for which they had expertise, rather than the full package of services. These meetings helped the Tier 1 Partners focus their offers.

The marketplace approach was carried out as follows:

1. Tier 1 Partners and Tier 2 Regional Partners used a “shopping list” to match supply (offers) and demand for services in the business package. During the marketplace event, Tier 2 Regional Partners met Tier 1 Partners to review their offers and assess whether they matched Tier 2 Regional Partners’ needs.
2. Tier 1 Partners and Tier 2 Regional Partners submitted completed shopping lists of preferred clients (Tier 2 Regional Partners) and service providers (Tier 1 Partners) to the Objective 2 team for evaluation and approval of matches. The Tier 1 Partners then submitted CVs of proposed consultants to carry out the interventions.
3. The Objective 2 team then supported the development of detailed statements of work to meet the particular needs of the Tier 2 Regional Partners. For guidance, GMS developed generic terms of reference for each intervention, including background information,

Business Strengthening Package

All regional partners:

Strategic business assessment
Business planning

According to needs:

Business modeling
Business systems strengthening
Costing and pricing
Proposal development
Marketing and communications
Business coaching

definitions of key terms, approach, and suggested deliverables, which may be modified as required.

4. When no suitable consultant was proposed by the Tier 1 Partner, or local or regional expertise was deemed more appropriate (market analysis, business coaching, etc.), the Objective 2 team suggested that the Tier 2 Regional Partner identify a local service provider. Local providers could be proposed directly by the Tier 2 Regional Partner or identified from professional databases (International Coach Federation or International Association of Business Communicators), internet searches, or a combination of these. The Objective 2 team reviewed potential locally-based providers for suitability, held regular calls during the intervention period with the providers and the Tier 2 Regional Partner, and evaluated the quality of the process and deliverables on completion of each intervention.

1.4. SELECTION OF THE WAVE 2 REGIONAL PARTNERS

The GMS contract stipulated recruitment of 12 regional partners in USAID's priority Global Fund regions.¹² This recruitment was carried out in two waves. The first six regional partners (called Wave 1 Tier 2 Regional Partners) were selected during the GMS proposal stage. The second wave of six regional partners (called Wave 2 Tier 2 Regional Partners) was recruited during PY2 using selection criteria defined by USAID in the GMS contract:

- Small business or small NGO, institution, or consulting group (“small” is defined as having annual revenues of US\$14 million or less)
- In operation for at least five years; able to demonstrate relevant activity during that period
- Not affiliated with any multilateral organization or existing GMS TS partner
- Founded and still headquartered in its respective region
- Having a core business (defined as 50% or more of total revenues in the last year) other than provision of management-related TS to Global Fund grantees
- Not a PR or SR of an active Global Fund grant.

The Wave 2 Tier 2 Regional Partners, were selected in PY2 through calls for expressions of interest (EOIs) published in e-journals and the regional press. GMS received 19 applications for the Wave 2 solicitation for EOIs. Six applications were disqualified, leaving a total of 13 from East Africa (8), West Africa (3), southern Africa (1) and Asia (1). Due to the low volume of responses, the solicitation for EOIs was republished in three additional e-journals and paper journals with an emphasis on Eastern Europe and Asia and an application deadline of December 31, 2013. The internal technical review panel proceeded with assessment of the 13 qualified applicants. Due diligence visits took place in January 2014 and the whole process was completed by February 2014.

¹² MENA was excluded.

The Wave 2 Tier 2 Regional Partners are listed below by region:

- *West Africa:* IRESCO and Global Challenge Corporation were selected from a group of four candidates. Established in 1993 in Yaounde, Cameroon, IRESCO was created by a group of multidisciplinary researchers, motivated by a common interest for research and action for economic and social development. Global Challenge Corporation is a consulting firm providing services in the areas of training and management consulting. It was established in 2007 with headquarters in Abidjan, Cote d'Ivoire.
- *Southern Africa:* Khulisa, from South Africa, was selected from a field of two candidates. The organization has a strong desire to develop partnerships with other regional TS providers, to intensify its Global Fund expertise, and to develop capacities for budgeting and costing. Khulisa has an M&E and public health focus as well as experience providing short-term support.
- *Eastern Africa:* Advantech and Upward Bound from Kenya were selected from a group of eight candidates. Advantech is a Gates Foundation IT partner in Africa; and Upward Bound specializes in M&E and already has a roster of Global Fund consultants.
- *Eastern Europe:* The Eurasia Foundation in Kazakhstan was identified as the front-runner of four regional candidates because: (1) its work involves supporting sub-subgrantees; (2) it has done similar work; (3) it is interested in strengthening its presence in its three base countries; (4) it has fiscal issues that impact its NGO status. Eurasia Foundation has also partnered with universities in Kazakhstan and Kyrgyzstan.
- *Asia Pacific:* Although three institutions applied to GMS, no qualified candidate was identified from the region. Swasti will remain as a Tier 3 Partner.

The complete group of Tier 2 Regional Partners is described in detail in the “Grant Management Solutions and Regional Partners” brochure, disseminated in July 2014.¹³

1.5. RESPONDING TO NEW TECHNICAL SUPPORT OPPORTUNITIES FOR REGIONAL PARTNERS

In early PY2, GMS moved quickly to encourage Tier 2 Regional Partners to take advantage of emerging business opportunities in the Global Fund landscape. GMS was hopeful that these opportunities were the beginning of a more inclusive TS landscape in which small national and regional TS providers could co-exist with large bilateral and multi-lateral TS projects to respond to the broad needs of the New Funding Model.

The first opportunity was the Global Fund's own IQCs launched in June 2013. Two Tier 2 Regional Partners (Curatio and Q Partnership) submitted a successful bid during the first wave of IQCs. However, due to internal policy changes, these IQCs have not, to date, resulted in any task orders. In September 2014, Curatio, OASYS and TAI bids on Global Fund requests for proposals supporting the new EPA process were shortlisted and were awaiting final status notification. In addition, following a request for further information regarding Tier 2 Regional

¹³ This brochure can be found at this page: www.gmsproject.org/about/Regional-Partners.cfm

Partner capacity to deliver TS focused on beneficiaries' needs around the NFM, an Tier 2 Regional Partner targeted skills matrix was developed and disseminated, and it is hoped that this will encourage country teams and other Global Fund stakeholders to promote South-South collaboration through engagement of Tier 2 Regional Partner organizations.

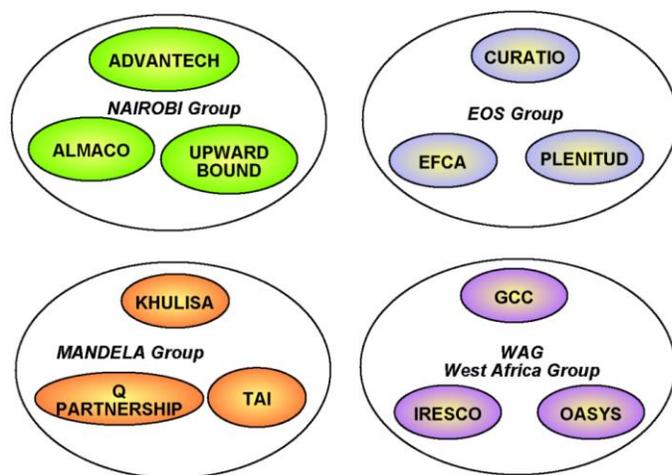
As reported in the GMS's PY1 Annual Report, Tier 2 Regional Partner OASYS carried out its county dialogue support to five CCMs, with financing by the German government's GIZ Backup Initiative. OASYS was invited to present the project to BACKUP Initiative stakeholders in July 2014.

Responding to the "5% Initiative" (administered by France Expertise Internationale or FEI), Curatio, has submitted a proposal to FEI, to fund work supporting development of an exit strategy for countries preparing to transition out of Global Fund granting support in the Eastern Europe and Central Asia (or EECA) region. It is hoped that this strategy may be replicated in other countries and regions (see Innovation Pods, below).

1.6. GMS INNOVATION PODS

As a further stimulus for Tier 2 Regional Partners to shift from a reactive to a more entrepreneurial stance, promote interorganizational collaboration, and harness their diverse talents and skills, GMS proposed a new set of tripartite groupings of Tier 2 Regional Partners called the Innovation Pods. Each pod was challenged to develop a business innovation geared to meeting Global Fund beneficiaries' needs, with particular focus on capacity gaps revealed by the architecture of the NFM.

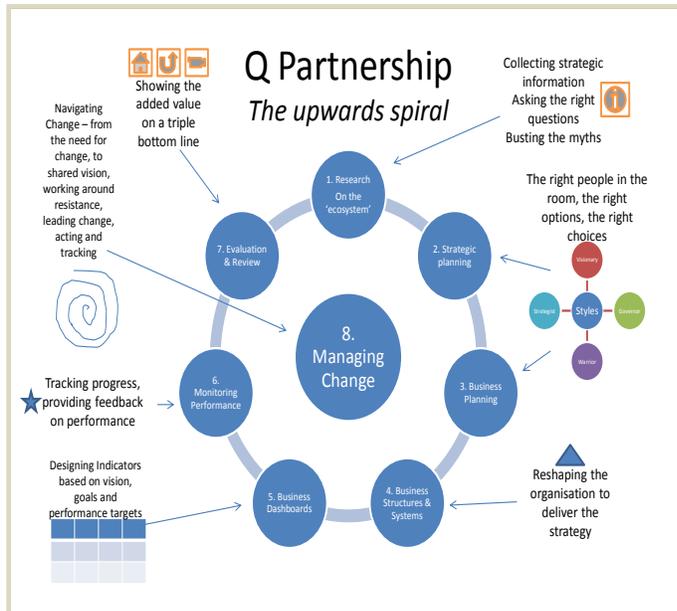
Figure 10. Innovation Pods



Tier 2 Regional Partners were grouped by affinity, geographic proximity, organizational focus, and/or regional location with regard to Global Fund grantees. They agreed to meet regularly (either virtually or in person as feasible), to exchange knowledge, share expertise, learn new skills and collaborate creatively to produce an innovation for the NFM before the end of 2014.

GMS will facilitate the initial meetings virtually or in person so that the alchemy in the group meeting is harnessed to produce fresh insights and groundbreaking new products, services and strategies for the NFM. The Tier 2 Regional Partners have greeted the initiative with enthusiasm, initial meetings have taken place, and some concrete product and service ideas have begun to emerge.

1.7. SUCCESS STORY: Q PARTNERSHIP



Q Partnership was registered as a private limited company in Zimbabwe (QPZ) in 1999 with a vision to work “in fun places, doing interesting work with inspiring people”. Initially, the company was founded by three small consultancy firms. Over the years, the number of partners increased, as did the diversity of sectors in which the partners worked. By 2007, when Q was first selected as a Tier 3 Partner of GMS1, the partnership was comprised of four different consulting firms and added three more by 2010. During this time, Q Partnership was formed and registered in Mauritius to assist in growing the business beyond Zimbabwe, where the financial collapse

was threatening business. With work opportunities expanding, there were weak internal systems to track the partnership revenue, and there e criteria in place to determine which sectors, and which new partnerships, to take on. It was a technically a partnership, but one without structure.

In 2012, after the award of GMS, Q Partnership embarked on the journey to become a Tier 2 Regional Partner. With GMS guidance and consultants from Tier 1 Partner the Alliance, Q Partnership completed and responded to organizational assessments of the internal systems and approach to business development and technical management. Additionally, the Alliance supported Q Partnership to conduct a strategic review of the company, which led to the development of a new strategic plan by the end of PY1.

During PY2, again through the continued support of GMS and Alliance consultant, Carl Schutte, the six partners of Q Partnership agreed to one business model and formalized structure in which relationships are now clear and documented between partners and shareholders. To support the business model GMS also supported Q Partnership with resources for legal services, as well as valuation of the company’s shares. Following the strategic plan and business model, GMS is now supporting Q Partnership to conduct market research to inform a marketing plan, which will assist the partnership in targeting the appropriate clients and projects for new business, including the Global Fund. The diagram above, developed by Q, Partnership reflects the progress they’ve made in understanding their organization and elements for success, knowledge gained Q with the support of GMS.

1.8. REGIONAL PARTNER MEETINGS

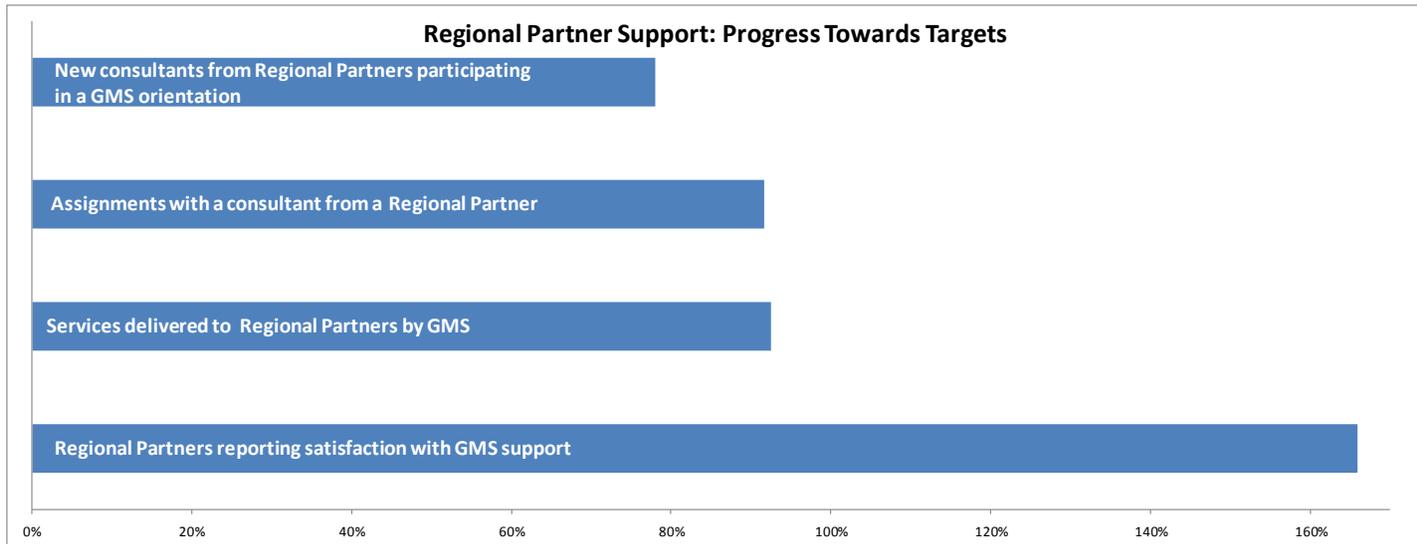
During PY2, GMS hosted two regional partner meetings. The first was held in October 2013, where Wave 1 regional partners were introduced to the new business strengthening approach through the first “marketplace” exercise. The second was held from April 30 to May 2, 2014, with Tier 2 Regional Partners from both Waves, providing an opportunity for experience sharing and for a technical seminar on the Financial Modeling Tool. On the meeting’s last day, partners participated in a conversation with Igor Oliynyk from the Global Fund’s CCM Hub, and discussed their desire to formally organize themselves as an Tier 2 Regional Partner strategic alliance, or charter.

1.9. SUPERVISORY VISITS

Supervisory visits are part of the oversight approach in monitoring the business strengthening interventions offered to Tier 2 Partners via Tier 1 and local support. The supervisory visits carried out by Objective 2 are three days or less per partner. Wherever possible, GMS has attempted to combine visits to partners in similar geographic regions. The visits are carried out by Objective 2 staff in pairs, so as to maximize direct technical support contact and more effectively respond to immediate needs or concerns of the Tier 2 Partner. These visits serve as another means of general business advisory support for the Tier 2 Partners. The main objective of these visits is to not only meet with the Tier 2 Partner face-to-face, but to give GMS Objective 2 a view into the daily operations of the Tier 2 organization.

In PY2, Objective 2 conducted supervisory visits to four out of the six Wave 1 partners: OASYS, ALMACO, Q Partnership, and Plenitud. During certain visits, Objective 2 staff was able to provide specific support, supporting OASYS to launch a country dialogue initiative, and supporting Plenitud to focus its attention on a growth plan that includes more Global Fund work. As the Wave partners were not selected until mid-way through PY2, Objective 2 chose to allow them to focus on their business strengthening interventions with their Tier 1 mentors.

Objective 2. Results for Regional Partner Support



This figure shows GMS's progress toward its two-year cumulative targets for the work with Tier 2 Regional Partners. This chart shows moderate delays in attaining the targets (78-92%), due principally to a lower volume of activity and assignments. Although training and use of consultants from Tier 2 Regional Partners were prioritized in PY2, the lower number of assignments provided fewer opportunities for them, while the cancellation of the second boot camp of the year cut the opportunity for additional training.

2. CONSULTANT TRAINING AND CERTIFICATION

2.1. NEW LEARNING APPROACHES TO TRAINING

GMS has developed a blended approach to learning for its PY2 learning events. Each training activity has combined a virtual preparatory component for knowledge transfer with a face-to-face workshop focused on the GMS approach and GMS skills transfer. In this way, participants become invested in the learning prior to arrival at the workshops and we ensure that all participants arrive for the face-to-face component with the same foundational knowledge upon which to build their skills.

GMS's face-to-face training approach focuses on experiential learning, which is critical for adult learning processes. This approach relies not only the previous knowledge and experience of consultants, but also on their capacity to retain information better by using hands-on, practical exercises and activities within the training setting. GMS uses scenarios to structure linked exercises that take participants through the critical steps of an assignment or TS process, such as a typical pre-signature assignment for PRs or the EPA process for CCMs.

2.2. EFFECT OF NEW FUNDING MODEL ON TRAINING NEEDS

GMS strives to conduct consultant training based on demand for TS. Consultant orientation, team leader strengthening, and specific technical workshops all contribute to strengthening the knowledge and skills of the GMS consultant pool based on the type of expertise that is needed in the field.

GMS had originally scheduled two consultant orientations (boot camps) for PY2—one in November 2013 and one in May 2014. Due to the nonoccurrence of the expected surge in demand for TS, many consultants trained in previous boot camps had not yet been used on teams. Therefore, GMS decided to postpone the boot camp initially scheduled for May and use existing trained consultants on new assignments. Instead, the team leaders training, originally planned for March 2014, was rescheduled for May and the number of participants in that training was increased from 25 to 35, to respond to a need for better prepared team leaders on the new NFM assignments. In addition, the Objective 2 team conducted other technical training through webinars and asynchronous courses to update current consultants in preparation for the surge. These modifications succeeded in reducing the number of consultants trained but never used from 148 to 98 by the end of PY2.

Consultant orientation

The third GMS boot camp was conducted from November 4 to 8, 2013, to orient 49 new consultants to the GMS approach to Global Fund TS. Participants were required to prepare for the workshop by first taking the Introduction to the Global Fund virtual course, hosted by the Alliance. The face-to-face workshop followed with the experiential scenario-based approach for the first time. Almost half of the participants (20 of the 49) focused on CCM TS methods, so that GMS would have more CCM consultants to meet anticipated demand for CCM strengthening with upcoming NFM-related requirements and CCM performance assessments. GMS placed the remaining participants in crosscutting PR-related teams to prepare GMS consultants for the

multi-disciplinary assignments with PRs. In addition, 15 of the participants were placed in French-speaking groups, which allowed francophone consultants to participate more fully.

Enhancing team leadership

GMS conducted its first Enhancing Team Leadership Workshop from May 19 to 23, 2014 in Arlington, Virginia, for 35 existing (seasoned and new), and potential team leaders. Participants prepared for the workshop by reading management articles and responding to questions in an online forum related to facilitation and negotiation challenges in the field. The workshop started with a one-day technical update for CCM and PR-related consultants. The remaining four days then focused on key areas of team management, client engagement, and communications skills for GMS team leaders. External experts, Nancy Settle-Murphy and Michael Wheeler (Harvard Business School) brought stimulating materials and new techniques to the facilitation and negotiation modules.

CCM Eligibility and Performance Assessment

The final full week of PY2 was devoted to a consultant training on the CCM Eligibility and Performance Assessment (EPA) process now used to evaluate compliance to the CCM eligibility criteria and minimum standards under the NFM. Thirty-one GMS consultants participated in this five-day training (September 22-26, 2014), in Arlington, Virginia. The training was conducted in collaboration with the Leadership, Management and Governance project, which funded five consultants to participate as well. In addition, GMS had the support of both the Global Fund's CCM Hub and GMS partner the International HIV/AIDS Alliance as resource persons and coaches.

Participants initiated their learning experience with preparatory reading and access to the Alliance's EPA virtual course. The face-to-face workshop was scenario-based taking participants through the entire EPA process. Through role plays and practical exercises, the participants applied the EPA process within the scenario to experience some of the issues and challenges that arise while guiding a CCM through the self-assessment, stakeholder interviews, and performance improvement plan development.

2.3. VIRTUAL TRAINING

Ongoing collaboration with the Alliance

The Introduction to the Global Fund virtual course is made available to GMS consultants in preparation for the GMS boot camp and to Regional Partners as an introduction for their consultants in preparing for TS to Global Fund clients. The virtual course (available in English and French) provides a learning opportunity for consultants related to Global Fund history, policies, and management procedures related to GMS work. It creates an informational foundation from which boot camp participants can jump into the skills building required in the face-to-face workshop. All 49 November boot camp participants successfully completed the virtual course before the start of the boot camp. In addition, 42 Tier 2 Regional Partner consultants have completed the course during PY2.

In the last quarter of PY2, GMS worked with the Alliance to initiate the revision of the course once again as NFM policies and procedures were getting underway to fully integrate the NFM

content into the course. This revision will be ready in December 2014, at which time the course will also be translated into Spanish.

Webinars: Implementation mapping

In July of PY2, GMS conducted a synchronous virtual training—a webinar, activity, and follow-up webinar—on the NFM requirement of “implementation mapping.” Four sessions were provided, two in English, and one each in French and Spanish. A total of 70 individuals participated, with four regional partners hosted groups to participate in the course.

On the road: in-house produced eLearning course

To streamline the knowledge transfer of routine logistical and financial procedures, all GMS consultants take a new virtual course called "On the Road." A project-wide team of GMS staff contributed to the production of this 30-minute animation, which explains protocols and anticipates solutions to common issues. It efficiently informs and tests new consultants; this course is a prerequisite to boot camps. The course is offered in English, French, Spanish, and Russian.

GMS created "On the Road" using Articulate Storyline software and hosts it online using the Moodle learning management system. It features voice overs, animation, instructional graphics, quizzes, and Web links. Its modules follow the chronology of GMS assignments: before, during, and after assignments. Disseminating routine information in this way has lightened the workloads of GMS staff, and consultants have responded positively to the fast pace and clear-cut style of pedagogy.

2.4. CONSULTANT CERTIFICATION

In PY1, GMS established its consultant certification process for team members and team leaders based on nine competency areas of knowledge, skills and approaches.¹⁴ GMS has continued the certification program in PY2 with much success. Certification requirements included training and successful performance in GMS teams. Certification review meetings were conducted quarterly (December 2013, April 2014, July 2014). Readiness and performance assessments were collected routinely from training events and assignments to adequately evaluate consultant performance based on the core competencies. In PY2, 92 consultants were certified as team members and 30 as team leaders in one or more technical areas, which include governance and oversight, PRM, M&E, and PSM.

Awareness of the GMS certification process has most definitely circulated among the community of individual consultants. GMS often receives

Consultants say:

“I’m glad to hear that I have met the eligibility criteria for GMS CCM certifications. I look forward to the certificates on this technical area too.”

“Thank you very much for the news! I feel honored and privileged to - officially - join the PRM club...”

“Thank you for this notification; this is great news! We look forward to receiving the certificates.”

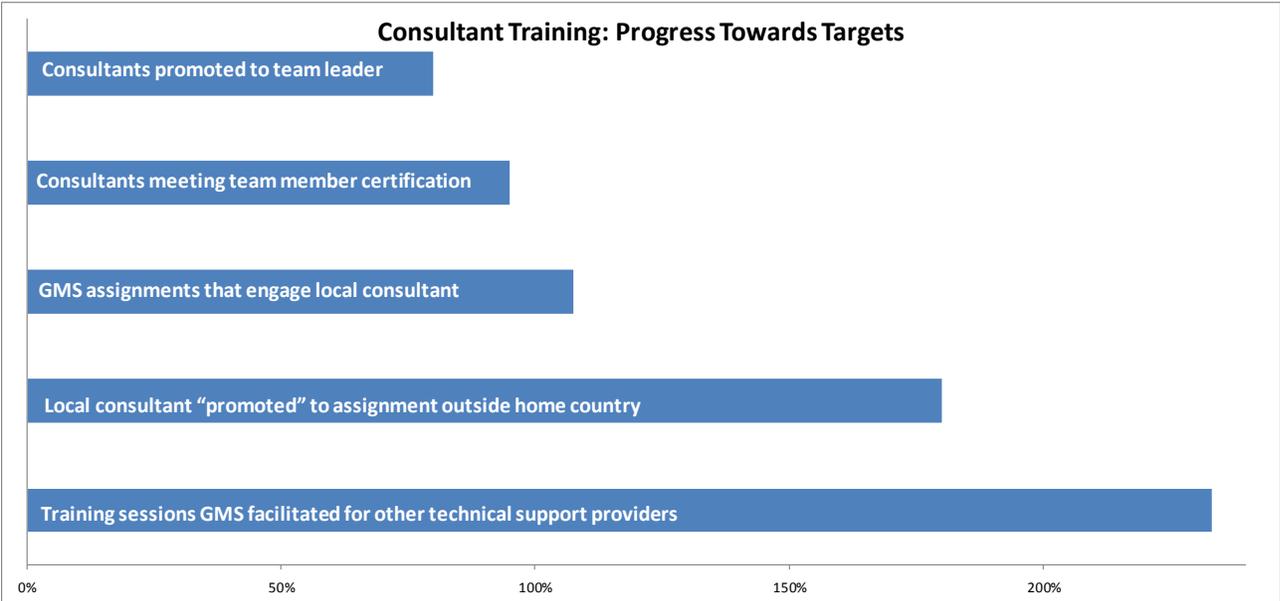
¹⁴ Consultant Certification Policy, version 1, May 20, 2013.

http://www.gmsproject.org/about/upload/Certification-Policy-with-GMS-logo_Version-1_Final.pdf

requests from non-certified individuals about their status, certified consultants send positive feedback on the process. GMS is encouraged by the motivation consultants display in trying to improve upon their technical and non-technical skills.

Initial conversations with the Global Fund over the certification process were met with interest. GMS has communicated its consultant certification strategy and policy with other TS providers such as GIZ and FEI.

Objective 2 Results for consultant training



This figure shows GMS’s progress toward its two-year cumulative targets for the work with building capacity of individual consultants. The lower performance on team-leader promotion is due to the lower volume of Objective 1 assignments, blocking consultants from accumulating the experience needed to move to the next level.

PART 3. OBJECTIVE 3—RESULTS AND KNOWLEDGE MANAGEMENT

Screenshots of the PR Management Dashboard

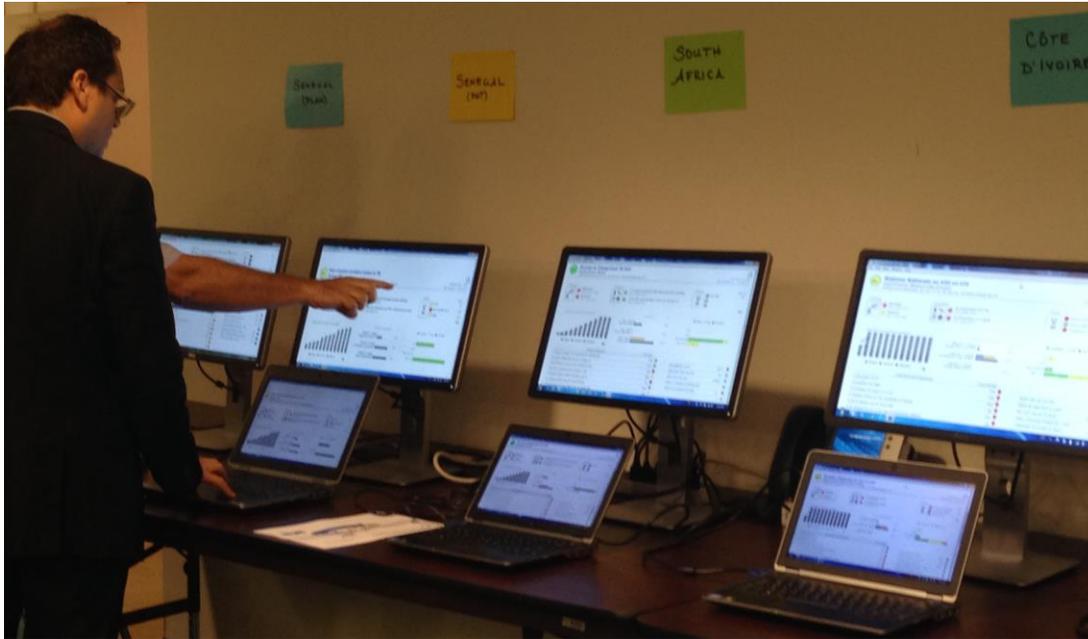


Photo credit: Erin Morehouse

Objective 3 At-a-Glance

Dissemination Milestones	Dates	PR Dashboard Pilot Milestones	Dates
Visits/calls with FEI	October 2013- July 2014	UAT testing in Dominican Republic	November 2013
Visits/calls with GIZ BACKUP	October 2013- February 2014	Geneva Consultants Training	January 2014
Visits/calls with the Australian Department for Foreign Affairs and Trade (DFAT)	July 2014	Pilot phase visits completed	August 2014
Global AIDS Conference, posters	July 2014	Dashboard post pilot meeting	September 2014
		Funds leveraged from SAP: \$970,000	

1. INTRODUCTION

Objective 3, with its mandate to disseminate GMS methodologies and tools using electronic platforms, also carries out a number of cross-cutting functions that support and document successful implementation of GMS activities. Objective 3's functions include:

- Disseminate GMS approaches to other Global Fund TS providers through various mechanisms including electronic platforms, workshops, conferences
- Develop and document new tools and approaches based on GMS consultancies
- Manage project communications
- Track, analyze and report on project results
- Develop an integrated information management system to facilitate work of GMS staff as well as tracking and analysis of GMS results
- Provide technological advice on selection and use of platforms for virtual training

In PY2, the Objective 3 team's key achievements lie in two major projects: coordination for GMS of the GMS/SAP/Global Fund partnership to develop and pilot the PR management dashboard, and completion of the trip reporting system and five modules of the GMS information management system (GMS IMS).

2. DISSEMINATING GMS APPROACHES FOR MEASURING RESULTS AND QUALITY TECHNICAL SUPPORT

During PY2, GMS expanded its reach by disseminating how it measures results and TS quality to a broader group of than it had in PY1, sharing its approaches with bilateral technical agencies, multilateral agencies and USG contractors. GMS's long term agenda is to build engagement with a common approach to measuring results of TS. In PY2, GMS's efforts included dissemination of its own results and information sessions and support to other TS agencies and projects.

2.1. COLLABORATION WITH FRANCE EXPERTISE INTERNATIONALE

During PY1, GMS had conducted work sessions in Paris, France, with FEI, which administers the French 5% initiative, to explain its approach to measuring results in detail. In October 2013, FEI communicated to GMS that since the PY1 sessions, it had begun assigning immediate and intermediate results to all deliverables produced in the course of its TS assignments. In the same communication, FEI expressed its interest in working with GMS toward defining a common approach for measuring results for TS providers of to Global Fund grants and CCMs. Later in PY2, FEI communicated to GMS that it had adopted GMS's approach to tracking the approval and implementation of deliverables at 6 and 12 months after the end of assignments. Doing so allows FEI to evaluate achievement of immediate and intermediate results in about 20% of their assignments.

2.2. GIZ BACKUP INITIATIVE AND THE ALLIANCE: DISCUSSIONS OF A COMMON APPROACH TO RESULTS MEASUREMENT

In October 2013, Christine Onyango and Itamar Katz conducted virtual work sessions with GIZ and its contractor, the Alliance (also a GMS partner) at GIZ's offices in Eschborn, Germany. These sessions aimed to both explain GMS's approach to measuring TS and to agree with both entities on the foundation for a common results framework for TS providers providing technical assistance to PRs and country coordination mechanisms on Global Fund-related issues. A key outcome of this meeting was an agreement on the basic elements of a possible future common results framework. A formal record of the meeting was produced and shared with USAID. Although the next step would have been to discuss common indicators for TS providers to Global Fund PRs and CCMs with a broader group of partners, this work stalled. GMS resumed communications with GIZ and the Alliance on developing a common approach to results measurement in February 2014. However, based on GIZ's decision to prioritize the definition of criteria for quality assurance of technical assistance (as part of the Working Group on Quality Assurance), GIZ BACKUP, the Alliance and GMS have agreed to postpone discussion of a common results framework.

2.3. CONTRIBUTIONS TO NEW GLOBAL FUND SECRETARIAT TECHNICAL SUPPORT TRACKING AND TO OTHER AGENCIES

During PY2, GMS maintained its agreement with the Global Fund to provide information on TS activities of GMS to the Global Fund Secretariat's TS staff. This information includes all new GMS assignments, terms of reference for those assignments, and a summary of completed assignments. The data are used by the Global Fund to coordinate its TS discussions and decisions with bilateral partners. In return, GMS received the Country Support Calendar from the Global Fund during PY2 which shows the dates of upcoming assignments of GIZ and FEI. Assignments overlapping with GMS assignments were identified and communicated to relevant GMS staff.

In addition to the Global Fund, GMS also provides monthly updates to the WHO's TB Team website on GMS assignments related to tuberculosis grants.

Each month, GMS downloads and reformats data from the Global Fund web site for use in results measurement. During PY2, GMS provided this reformatted data to FEI, GIZ BACKUP Initiative and to the Alliance each month for use in measuring outcomes of their TS assignments to Global Fund PRs and CCMs.

2.4. CONTACTS WITH USG CONTRACTORS AND MULTILATERAL PARTNERS

In December 2013, Project Director Catherine Severo, Deputy Director Christine Onyango and PSM Technical Manager Dr. Dah El Hadj Sidi were invited to present GMS's approach to providing CCM governance technical assistance to senior technical staff of the USAID-funded SIAPS project. This session comprised a review of lessons learned from GMS that would be useful to SIAPS in its expanded role with Global Fund PSM activities at country level.

At the request of the President's Malaria Initiative, GMS (Catherine Severo, Maria Trujillo and Christine Onyango) and GMS COR Laurie Rushton met with Boi Betty Udom and Richard Carr of the country support team of Roll Back Malaria in January 2014 to share information on how GMS manages its provision of TS to countries. Roll Back Malaria was particularly interested in learning about how consultants are selected and trained. GMS also explained how the project measures the results of technical assistance.

2.5. THE AUSTRALIAN 5%: FIRST CONTACT WITH AUSTRALIAN DEPARTMENT FOR FOREIGN AFFAIRS AND TRADE

In July 2014, Christine Onyango joined MSH CEO Jonathan Quick and other MSH staff at a meeting with DFAT in Melbourne, Australia. DFAT confirmed it planned to establish a 5% initiative similar to those established by the USG and France—one which would focus on provision of technical assistance to support building of sustainability into Global Fund-support programs. In this meeting Ms. Onyango explained that GMS had developed an approach to measuring the results of technical assistance and proposed further discussions to explain this

approach in more depth when DFAT representatives visit Washington, DC, later in 2014. DFAT expressed interest in such a meeting.

2.6. PUBLIC FORUMS FOR DISSEMINATION

In January 2014, GMS submitted three abstracts to the 20th International AIDS Conference, which were accepted for poster presentations. The three posters can be downloaded from GMS's website:¹⁵

- Measuring Effectiveness of Global Fund-Related Short-Term Technical Support (STTS) on Grant Management Bottlenecks: Results from 43 STTS Interventions in 24 Countries
- Morocco Ends ART Stock-Outs Using the Electronic Dispensing Tool (EDT)
- Short-Term Technical Support for Global Fund Grant Implementers: Measuring Results, Effects, Impact

Using corporate funds from GMS's prime partner MSH, Deputy Director for Results and Knowledge Management Christine Onyango traveled to Melbourne, Australia, to present the three posters and to participate in conference sessions.

3. DEVELOPING AND DOCUMENTING NEW TOOLS AND APPROACHES: THE PRINCIPAL RECIPIENT GRANT MANAGEMENT DASHBOARD

One of Objective 3's major accomplishments in PY2 was the development and pilot testing of a PR Grant Management Dashboard. This second generation dashboard will eventually replace the CCM dashboard developed during GMS1.

Fruit of a partnership between GMS, the Global Fund Secretariat and German software multinational SAP, the PR management dashboard has been designed to provide visual alerts to PRs on management problems affecting the implementation of grants so that PRs may take action to improve grant performance. The dashboard consists of two elements—an Excel-based data entry application where SR and PR data are entered and a dashboard application that uses SAP's Crystal Dashboard Design 2011 to produce visualization of the data. As with the CCM dashboard, a user manual and set-up guide has been produced in English, French and Spanish, while a consultants' manual guides the TS providers through the support process. During PY2, the PR dashboard was developed, tested, and piloted.

¹⁵ The posters can be found at this page: www.gmsproject.org/news/index.cfm

The PR Dashboard Partnership: GMS, SAP, the Global Fund

The GMS-Global Fund-SAP partnership is grounded in a memorandum of understanding (MOU), signed by all three parties in the partnership by April 24, 2014. The MOU lays out the roles and responsibilities of GMS, SAP and the Global Fund in the partnership. It describes the work to be accomplished through the collaboration, the work to be done through the partnership, and the terms and conditions and time frame for the work. The MOU also states the resources that each organization will contribute to the partnership. The value of SAP's contribution to this partnership amounted to \$970,000, while GMS contributed \$2.7 million for the project. SAP's contribution to the project includes 160 user licenses, two training licenses and staff time for an expert to assist with designing the dashboard.

3.1. SOFTWARE DEVELOPMENT

From August to October 2013, SAP Principal Consultant Ashu Kumar, who has expertise in business intelligence, traveled to Arlington each week to spend 4-5 days working with GMS Electronic Tools Specialist Eduardo Samayoa to develop the PR Management Dashboard applications. For one week in October 2013, they were joined by the Global Fund Secretariat's Analyst from the Data and Systems Hub Ruskin Constant, who finalized the data entry application used to introduce data from SRs into the dashboard.

3.2. COUNTRY SELECTION

Also in October 2013, GMS, Manager of the Global Fund CCM Hub René-Frédéric Plain and staff from USAID met in Washington, DC to agree on the final selection criteria for pilot countries, The key selection criteria appear below:

Table 2. Criteria for selection of pilot countries

Representation from High Impact regions	Regional representation	Linguistic diversity
At least 1 grant per disease	Availability of data at PR and SR levels	Mix of public sector and non-government PRs
Sufficient time remaining in grant	Diversity of IT infrastructure and capacity	Low risk of political upheaval in 2014
Already use or clearly want dashboards	Strong Global Fund country team interest in dashboards	No OIG investigation or suspension

The following table shows the PRs and grant selected to participate in the pilot:

Table 3. Final list of PRs selected for dashboard pilot

Country	Principal Recipient	Type of PR	Disease
Dominican Republic	CONAVIHSIDA	Public sector	HIV
Cote d'Ivoire	Alliance Cote d'Ivoire	Civil society organization	HIV
Lao PDR	Ministry of Health	Public sector	HIV
Senegal	National TB Program	Public sector	TB
Senegal	Plan International	NGO	TB
South Africa	National Department of Health	Public sector	HIV/TB
Uganda	TASO	Civil society organization	Malaria

3.3. USER ACCEPTANCE TESTING (UAT) FOR THE DASHBOARD

In mid-October, GMS implemented an in-house simulation to test the functioning of the data entry application using real grant data from the Dominican Republic and GMS staff as testers. Next, from November 17-22, GMS coordinated user acceptance testing of the dashboard solution in the Dominican Republic. The testing team included GMS's Patricio Murgueytio, Eduardo Samayoa, and Enny Handayani, and SAP's Ashu Kumar and Ruskin Constant from the Global Fund Secretariat information hub. Designed to determine whether the dashboard would function as intended under field conditions, the test was conducted with PR CONAVIHSIDA, the national HIV/AIDS program, and four SRs. In early December, GMS worked with the Global Fund and SAP to make remaining post-UAT fixes to the PR management dashboard.

3.4. COLLABORATION WITH SAP AT THE GLOBAL FUND 2013 REPLENISHMENT CONFERENCE

On December 2, GMS Project Director Catherine Severo participated in two events of the Global Fund Replenishment Conference--a small reception for private-sector partners and an evening reception where SAP's Vice President, Head of Global Industry Business Unit Healthcare Providers, Martin Kopp was among private-sector partners made remarks on their financial and in-kind contributions to the Global Fund. Mr. Kopp mentioned SAP's collaboration with the Global Fund and GMS to develop the PR management dashboard in his remarks.



Catherine Severo | Project Director, Grant Management Solutions
 Martin Kopp | Vice President, Head of Global Industry Business Unit Healthcare Providers at SAP, AG

3.5. TRAINING OF CONSULTANT TEAMS

GMS conducted the PR dashboard consultants' orientation in collaboration with SAP and the Global Fund Secretariat staff at the Global Fund offices in Geneva from January 20 to 24, 2014. Nineteen consultants for six teams participated. Global Fund Attaché in Geneva, U.S. Department of State, Michael Johnson, the Global Fund's Head of Grant Management Support Oren Ginzburg, and the Global Fund's Department Head for High Impact Asia Urban Weber attended the opening, while the COR and Shimon Prohow, multilateral advisor in USAID's Office of HIV/AIDS, were present throughout the week.

3.6. PILOT VISITS

Pilot assignments in the six countries were carried out from February 23 to August 31, through a series of three trips per country with local consultant support between trips. During trips 2 for each country, a GMS technical manager, a GMS, SAP or Global Fund dashboard helpdesk IT support person, and a GMS program associate provided supervision and support. During trip 3 for each country, the GMS project director or one of the deputy directors supported the team with the final analysis meetings and CCM briefings.

3.7. SEPTEMBER 2014 POST-PILOT MEETING

From September 15-17, 2014, GMS held a meeting to review the experiences from the six country pilots of the PR Management Dashboard. The objectives of the meeting were 1) to review initial results in adoption of the PR dashboard innovation and its effect on grant management, 2) to define and begin implementation of the final changes to the dashboard software and manuals, 3) to plan handover of the dashboard and manuals to the Global Fund, and 4) to plan roll out of the PR Dashboard to additional countries. Participants to the meeting included Global Fund staff, SAP staff, USAID staff (representing both PEPFAR and PMII), GMS staff, and eleven of the GMS team leaders and dashboard configuration consultants who participated in the pilot.

Key activities, outputs and outcomes of the meeting were as follows:

- Pilot team members shared their experiences on piloting the dashboard in each country and proposed numerous improvements to the methodological approach of introducing the PR Management dashboard.
- Improvements in management weaknesses addressed through the pilot were explained by pilot teams. GMS subsequently developed brief narrative summaries on each pilot country's experience to showcase progress achieved in addressing management weaknesses.
- A number of improvements were made to the PR Management Dashboard software applications. Consensus was reached to update the dashboard software so that it can track data for up to 50 SRs. Additional improvements to the software were proposed and approved. Work began on the improvements during the meeting.

- GMS reviewed proposed improvements to the User Guide and to the Consultant Manual with the consultants who participated in the pilot and agreed on which improvements would be incorporated into these manuals.
- The process for follow-up monitoring of management change and outcomes was reviewed and roles for the local consultant, team leader, and technical manager updated.
- GMS, SAP and the Global Fund prepared a roll out plan (including communications actions) for disseminating the dashboard and agreed on a target date of early February 2015 for handover of the application and manuals to the Global Fund Secretariat.

The report from the PR Dashboard Post Pilot meeting will be disseminated at the end of 2014.

3.8. MONITORING THE MANAGEMENT CHANGE PROCESS AND MEASURING OUTCOMES OF DASHBOARD USE

GMS plans to measure and monitor the change management process experienced by a PR as it adopts and uses the dashboard and the outcomes of using the dashboard in terms of grant performance. GMS seeks to answer the following questions:

- Does PR and SR management behavior change as a result of using the dashboard? Does the PR make management decisions based on data generated by the dashboard?
- Does completeness and timeliness of reporting improve following introduction of the PR Dashboard?
- Does grant performance change following introduction of the PR Dashboard?

GMS uses Kurt Lewin’s stages of change organizational change model as the framework for monitoring the process of change management.¹⁶ This model proposes that an organization goes through three steps to achieve organizational change.

1. The first step—**unfreezing**—requires that the organization prepare for change by breaking down the status quo, overcoming inertia, dismantling the existing "mind set" of the organization, bypassing established defense mechanisms and overcoming inertia.
2. The second stage—**change**—is characterized by members of the organization beginning to resolve their uncertainty, and become more open to new ways of doing their work.
3. The third stage—**refreezing**—is the stage at which the organization and its employees institutionalize the changes that were introduced. The change(s) are implemented regularly and become “business as usual.”

By mapping each of these stages of organization change to the schedule of pilot visits as well as the schedule for post-pilot monitoring, and implementing an **innovation adoption checklist** where desired management behavior changes are predicted for each stage of the model, GMS plans to be able to explain and compare the processes followed by the six PRs in the pilot to adopt and successfully use dashboards as intended. GMS subsequently will use results from

¹⁶ Lewin, Kurt. “Frontiers in Group Dynamics: Concept, method and reality in social science, social equilibria, and social change.” *Human Relations*, 1 (1947): 5-41. Print

this monitoring to improve the approach for introducing the PR Management Dashboard to additional PRs.

4. CAPTURING DATA, MEASURING RESULTS

4.1. DEVELOPMENT OF THE GMS INFORMATION MANAGEMENT SYSTEM

During PY2, GMS continued the work started during PY1 to develop its information management system (GMS IMS), which culminated in launching the remaining five elements of the system by September 30, 2014.

The following table summarizes the key elements of the GMS-IMS, their key functions, and the work that was completed on each element during PY2. GMS-IMS is a platform hosted on Amazon’s EC2 medium cloud instance and developed using the following technologies:

- Operating System: 64-bit Windows 2008 R2 Server
- Databases: MS SQL Server and MySQL (MySQL is free of charge and open source)
- Framework: .Net Framework and Adobe AIR (free of charge)
- Programming Languages: JavaScript, PHP and C# (free of charge)
- Content Management System: WordPress (free of charge)

Access to GMS-IMS

Through one common portal, the GMS IMS provides access to GMS staff, GMS consultants, GMS Tier 1, Tier 2 and Tier 3 partners, USAID staff, Technical Support Approval Panel (TSAP) staff, other GMS partners (such as the Global Fund, FEI, GIZ), and individuals wishing to become GMS consultants. Each type of user will be assigned different levels of access to the GMS IMS.

Element of the GMS IMS	Key Functions	Progress during PY2
<i>Trip reporting application</i>	<ul style="list-style-type: none"> • Provides online and offline access to GMS consultants to enter data on trips • Collects and tracks information on GMS assignments • Produces GMS trip reports within the 10-day mandated contractual deadline • Provides data for approximately half of GMS performance monitoring plan (PMP) indicators 	<ul style="list-style-type: none"> • Development was completed in PY1. Maintenance stage during PY2. • During PY2, GMS developed a Help & User Manual for this application which can be accessed within the trip reporting system by clicking “Help”. • The plan for integrating this application with the remaining components of the GMS IMS by December 2014 was completed in PY2.
<i>Web Portal</i>	<ul style="list-style-type: none"> • Entry point for users into to the GMS extranet. • The web portal will be the gateway for accessing 	<ul style="list-style-type: none"> • This application was designed, developed and

Element of the GMS IMS	Key Functions	Progress during PY2
	<p>other applications in the GMS IMS for those who have the permissions to do so</p> <ul style="list-style-type: none"> • Provides access to <i>MyProfile</i> for GMS consultants and partner organizations 	launched during PY2.
<i>User management application</i>	<ul style="list-style-type: none"> • Allows the creation of user accounts. • Determines who can access different parts of the extranet based on the roles assigned to individuals and permissions accorded to these roles. 	<ul style="list-style-type: none"> • This application was designed, developed and launched during PY2.
<i>Consultant Management Application</i>	<ul style="list-style-type: none"> • Stores data on consultants and allows consultants and GMS partners to access varying levels of consultant data depending on permissions accorded. • Facilitates collection of applications from consultants who are interested in working for GMS. • Replaces use of eRoom by GMS; GMS data in eRoom will be transferred to this application in October 2014. 	<ul style="list-style-type: none"> • This application was designed, developed and launched during PY2.
<i>Training Management Application</i>	<ul style="list-style-type: none"> • Facilitates management of GMS data on its training activities. • Allows for management of trainees and training materials and notifications on upcoming training activities. 	<ul style="list-style-type: none"> • This application was designed, developed and launched during PY2.
<i>Tools Management Application</i>	<ul style="list-style-type: none"> • Facilitates storage, management of data on GMS tools. • Allows GMS staff and consultants to search for tools. • Allows those with access to the application to download tools. 	<ul style="list-style-type: none"> • This application was designed, developed and launched during PY2.

In addition, Objective 3 worked with Objective 2 to develop a mechanism using MS Access to capture regional partner-related information that will not be captured through the GMS IMS.

4.2. REMAINING STEPS TO COMPLETE THE SYSTEM AND FACILITATE ITS USE

- ✓ October 2014
 - E-room data migration (consultant data base)
 - Train GMS staff to use system
 - Complete beta (user) testing of GMS IMS by GMS staff

- ✓ November 2014
 - Orient GMS consultants to use system
 - Metadata language translation

- ✓ December 2014
 - Complete integration of trip reporting system into the GMS IMS

4.3. USING THE GMS IMS TRIP REPORTING DATA TO SUPPORT QUALITY ASSURANCE OF ASSIGNMENTS AND GMS DECISION-MAKING

The Trip Reporting System is an online tool that collects data on each GMS assignment. The Deputy Director for Objective 1 uses the Trip Reports extensively as a management and quality control tool. She reviews reports systematically and follows-up on issues raised with task managers. For instance, she reviews the reasons behind any “abandoned” deliverables.

The GMS monthly updates to the PMP are produced as standard reports from the GMS IMS.

4.4. ANNUAL UPDATING OF THE GMS PERFORMANCE MONITORING PLAN

During Quarter 1 of PY2, GMS obtained USAID approval to review and revise indicators and targets of GMS’s PMP to reflect the modification of the Objective 2 capacity building strategy, as well as observations about the nature of and demand for GMS technical assistance in PY1. The PMP results tables in this report reflect these changes.

5. GMS COMMUNICATIONS

5.1. NEW PROCESS FOR EDITING, TRANSLATION AND MANAGING VOLUME OF REPORTS

The GMS-IMS is capable of producing a Word version of the report at the push of a button using only the data from the system necessary for producing the final report. This conversion from the GMS IMS into a Word document is the first step of a process that involves many people and results in a report that USAID and OGAC can repackage using only the data from the system necessary for producing the final report.

Before the GMS communications executes its own editorial review, several levels of quality control are carried to ensure the data and information in the trip report are correct. Each trip report for a GMS assignment begins with GMS project associates loading the trip reporting application of the GMS-IMS with many data. Next, team leaders add the bulk of the data needed to complete the report and organize certain data into information about the trip that relates to the overall assignment’s scope of work. The technical manager then reviews the report, assuring that the information is correct, adding appropriate analysis and contextualization of the team’s work (working as needed with the team leader); for the last report for an assignment, the technical manager also performs a client satisfaction survey for the assignment. Last, once the technical content of the report has been completed, GMS’s

program officer for results performs a quality control, before releasing the report to the communications team.

The communications team produces a first draft of the Word version for internal review by pushing a button in the GMS IMS that converts discrete data and information in the GMS IMS into a Word document. The communications team then executes its own quality control of the report, using electronic tools and checklists, and methodically edits the report so that it tells a meaningful story for both initiated and uninitiated audiences. Technical managers are integrally involved throughout this process. Once this process is complete, the communications team sends the report to USAID and OGAC.

In PY2, project associates, team leaders, technical managers, results and communications staff worked together to collect data, organize information, and relate the progress and results of each trip of each GMS assignment. The Communications team made sure that all 117 trip reports due in PY2 reached USAID and OGAC in clean readable form. All trip reports were sent to USAID within 10 working days after the end of its related trip, as required by the contract governing GMS.

In addition, the communications team sent 31 reports to PRs and CCMs in five languages (English, French, Portuguese, Russian, Spanish), based on final trip reports and including summaries of all trips. These reports (copied to USAID, OGAC, the Global Fund), were sent after the end of an assignment to document for the PR of CCM the TS process and results.

5.2. INVOLVEMENT IN PR DASHBOARD (EDITING, TRANSLATIONS)

The Communications team edited and produced the PR Management Dashboard Setup and User's Guide for the PR Management Dashboard pilot in English, French, and Spanish. First the English version was completed and edited, then this version was sent to professional translators to create French and Spanish versions. Ultimately, all three versions were completed in parallel, such that each version could be considered an original, or source text. This piece of work showcased collaboration among GMS team members in Objective 1, 2, and 3, and between GMS staff, consultants, and translators familiar with GMS's work.

5.3. TRAINING CONSULTANTS

As mentioned in Part 2, section 2.2 of this report, GMS held an Enhancing Team Leadership Workshop from May 19 to 23, 2014. The communications team facilitated the section of this workshop dedicated to communications, with a twofold focus: (1) creating and presenting different messages orally to different audiences using one set of information, and (2) writing clear, concise and complete reports.

6. OBJECTIVE 3 RESULTS FOR PY2

The results for Objective 3 PY2 indicators reflect an expanded use of electronic platforms for disseminating GMS tools and approaches, increased availability of GMS tools for GMS consultants and TS providers, and progress in adoption of GMS tools by other TS providers and the Global Fund Secretariat.

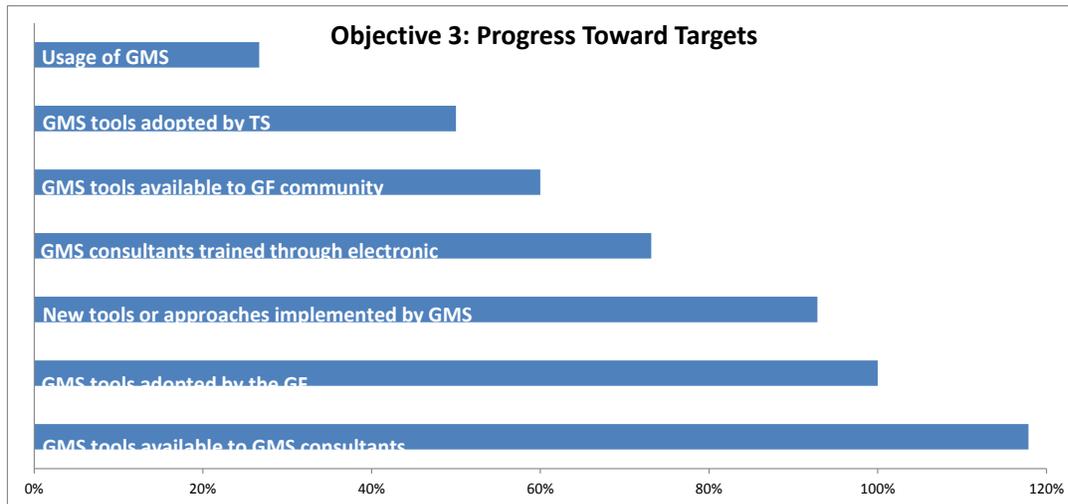
In PY2, the number of electronic platforms used to disseminate tools, approaches and general information about GMS work, as well as facilitate work processes, grew from three to ten, achieving 200% of target (see indicator 3.1a in the Objective 3 table in annex 2). These included the GMS website, the GMS extranet and the GMS trip reporting system, platforms for delivering webinars (GoToMeeting, WebEx) platforms for delivering asynchronous training (Moodle), platforms for discussion forums (Jive, LinkedIn), and platforms for document sharing and work planning (Dropbox, Basecamp).

Through trip reports, GMS consultants announced the creation of 13 new tools (93% of target) during assignments to fill a gap for a tool identified during an assignment (see indicator 3.2b in the Objective 3 table in annex 2 and, the indicator called “New tools and approaches implemented by GMS” in the table below). In addition, GMS surpassed its PY2 target for tools made directly available to consultants through its extranet: 99 tools (118% of PY2 target) by the end of PY2 as compared to 23 at the end of PY1). Where appropriate, GMS makes tools developed by consultants available to TS providers that assist CCMs or PRs. GMS met 60% (three out of five) of its PY2 target for making such tools available to the Global Fund support community.

A number of GMS consultants also conducted Global Fund-related technical support through TS providers other than GMS. Although GMS made a huge number of tools available to its consultants in PY2, GMS found that few of its consultants (eight out of 30 or 28% of target) reported using GMS tools in non-GMS assignments (see indicator 3.3a in the Objective 3 table in annex 2 and, the indicator called “Usage of GMS tools” in the table below).

GMS made progress in PY2 on its second category of tools, which are “purpose-built” tools. These tools are usually designed at GMS headquarters (not by consultants on assignment) to address a central need among Global Fund stakeholders and require considerable investment to create, test, and finalize prior to dissemination. Such tools are usually targeted for adoption by the Global Fund Secretariat because of their potential large-scale application. GMS went from having no tool adopted by the Global Fund at the end of PY1 to one tool—the NFM Scheduler—adopted by the Global Fund by the end of PY2. The Global Fund subsequently modified this tool for use by portfolio managers. In PY2, Objective 3’s continued collaboration with Objectives 1 and 2 to deliver webinars and create content for asynchronous courses resulted in the number of consultants trained through electronic platforms growing from 100 at the end of PY1 to 256 (73% of target) by the end of PY2.

Objective 3 Results for consultant training



This figure shows GMS's progress toward its two-year cumulative target for Objective 3. Please note that "Usage of GMS tools" refers to the number of consultants providing Global Fund-related technical support outside of GMS that have used GMS tools or approaches at least once after GMS training. This chart shows an interesting contrast between use and adoption of new and legacy GMS tools. Because of the changing requirements of the NFM, GMS has had to modify legacy tools or invent and adopt new ones; these are the tools that are being used by current teams. The positive results of introduction of the PR Management Dashboard are also visible in these results. However, GMS recognizes the limited success in completing dissemination of its tools and processes to other technical support agencies, as is discussed above in section 2.

PART 4: PROJECT COORDINATION AND CROSS-CUTTING ACTIVITIES

GMS's Finance and Operations Team



Photo credit: Enny Hndayani

1. INTRODUCTION

Coordination of the three objectives and the crosscutting activities that support them is carried out by the GMS project director and deputy directors. In PY2, GMS directors monitored the evolving New Funding Model continuously, updating the GMS work plan and training calendar as new information was received. From March to August, once the concept note windows and lists of potential submissions were announced, GMS and the COR team at USAID projected possible scenarios for demand for grant making support. In the end, the country dialogue and concept note process were too volatile for modeling: no surge in demand for TS occurred. Coordination focused therefore on alternative activities that would align with evolving needs and build quality approaches for PY3.

Collaboration with the Global Fund

In PY2, GMS's interlocutors at the Global Fund Secretariat expanded and evolved, as the Secretariat continued to modify its staff structure to manage the NFM. GMS's primary interlocutors continue to be the Grant Management Division and its country teams grouped in the five regions as well as its CCM Hub and other hubs in the Grant Management Support unit. For the PR dashboard partnership, GMS worked actively with the Innovation Coalition under the External Relations Division, the Strategic Information department under the Strategy, Investment and Impact division, and the Grant Management division. For the African Delegations support, GMS collaborates with the Board Support team. GMS wishes to thank the Global Fund Secretariat for its ongoing cordial collaboration. GMS carried out one trip to the Secretariat in PY2, in January 2014, for the training of the PR dashboard consultants. During this trip, GMS liaised with a number of country teams for client countries. GMS also carried out technical discussions with the Transition and the Value-for-Money teams on health financing approaches. These discussions were followed up by several telephone work sessions on performance-based financing methods. These teams have subsequently been organized within the Secretariat structure.

In August and September 2014, GMS's directors participated through telephone interviews in a study on Quality Assurance of Technical Assistance carried out for the Global Fund Technical Assistance Quality Assurance Sub-Committee of the Technical Assistance Coordination Group. GMS explained its proposal of a common set of performance indicators for TS providers: the consultant report contains recommendations for possible indicators including some proposed by GMS.¹⁷

¹⁷ Carlson, C, "Assurance of technical assistance for Global Fund mechanisms", September 2014, draft.

2. COLLABORATION ON INTRODUCTION OF THE EPA AND DEVELOPMENT OF A GMS POLICY ON KEY POPULATIONS

The EPA process and GMS's assignments for EPA are described in Chapter 1. GMS's contribution to the process began at the end of PY1, through conversations with the CCM Hub about the diagnostic process and tools GMS uses to assess CCM functioning. GMS's CCM technical manager and project director reviewed and commented on several early versions of the EPA assessment matrix, which led to production of the excel-version of the EPA introduced in November 2013. The CCM Hub then collaborated most closely with the Alliance to develop the training program for EPA consultants. Consultants trained by GMS but working as well for other Global Fund TS partners attended several of the training sessions.

In June 2014, GMS CCM technical manager Iryna Reshevskaya and Capacity Development Specialist Nina Pruyn attended the session and EPA partners work session given by the CCM Hub and the Alliance in Cambodia. Feedback on the quality of EPA execution was provided by the CCM Hub to GMS, the Alliance, FEI, LMG and other TS providers present. Attention was drawn to the need for better quality focus upon the updated eligibility requirements #4 and #5 concerning KPs.

In response to this feedback, GMS met with KP experts drawn from the GMS consultant network to develop its policy on GMS TS to KPs. The policy was finalized in September 2014 and is being circulated to partners and the Global Fund. It will be used to refocus consultant training, supervision, and quality assurance of TS.

3. OPERATIONS SUPPORT

The GMS operations support team provides the finance, administration, and contracts functions to the project. The low volume of demand for Objective 1 support in PY2 significantly reduced the volume of contracts and financial transactions required of the team. As a result, following the departure of the senior contracts officer in January 2014 and promotion of the senior contracts analyst, GMS decided to delay recruitment of a replacement until the volume of work increased again.

At the end of PY2, the US government introduced "Expenditure Analysis," new reporting requirements on field support funds financed through PEPFAR. GMS has developed accounting procedures to produce these new annual reports and began on-line data entry at the end of September 2014.

CONCLUSION AND LESSONS LEARNED

GMS began PY2 in the expectation of a late surge in demand for support to future PRs for the grant-making phase of the NFM. While waiting for the surge, GMS intended to complete design and piloting of the PR Management Dashboard and development of the GMS IMS, and to hold two or three consultant orientations to build the consultant roster. Simultaneously, GMS was poised to implement the updated approach for strengthening regional partner organizations while enabling them to respond to expected opportunities for non-GMS contracting for Global Fund TS.

This year, however, GMS received only 40 assignments, as CCMs and PRs paused to update their national strategic plans and develop concept notes for new grants. Instead of a surge in grant making, GMS experienced a surge in CCM support work as CCMs around the world attempted the EPA process for the first time. Sixty percent of GMS assignments in PY2 supported CCMs, all but one including an EPA or support to develop or implement a PIP. Of the 40% (16) of assignments for PRs, six were used for the PR dashboard pilot. Progress was also made on the GMS trip reporting application. This application now allows streamlined collection of data for GMS results measurement while continuing to enable GMS to meet the 10-day deadline for trip reports (100% compliance in PY2).

Lower demand for consultants led GMS to modify its training activities. Instead of two or three consultant orientations, GMS carried out one, reprogramming the training funds for new specialty trainings for team leaders and for consultants to carry out the EPA, training others in new elements of the NFM through webinars in three languages.

The new approach to regional partner strengthening has proved to be more appropriate and more effective for private-sector entities of both the original Wave 1 Tier 2 Regional Partners and the newly recruited Wave 2 Tier 2 Regional Partners.

GMS learned that that a public-private-NGO collaboration like the one that produced the PR Management Dashboard requires strong project management. Successful collaboration requires that all partners assign an adequate level of resources (human, financial, technological) to the effort. In addition, good project management monitors and adjusts the mix of resources as the project unfolds. Before beginning the work, a written commitment regarding each partner's allocation of resources and expected level of engagement facilitates understanding of each party's role and is critical to avert surprises during implementation.

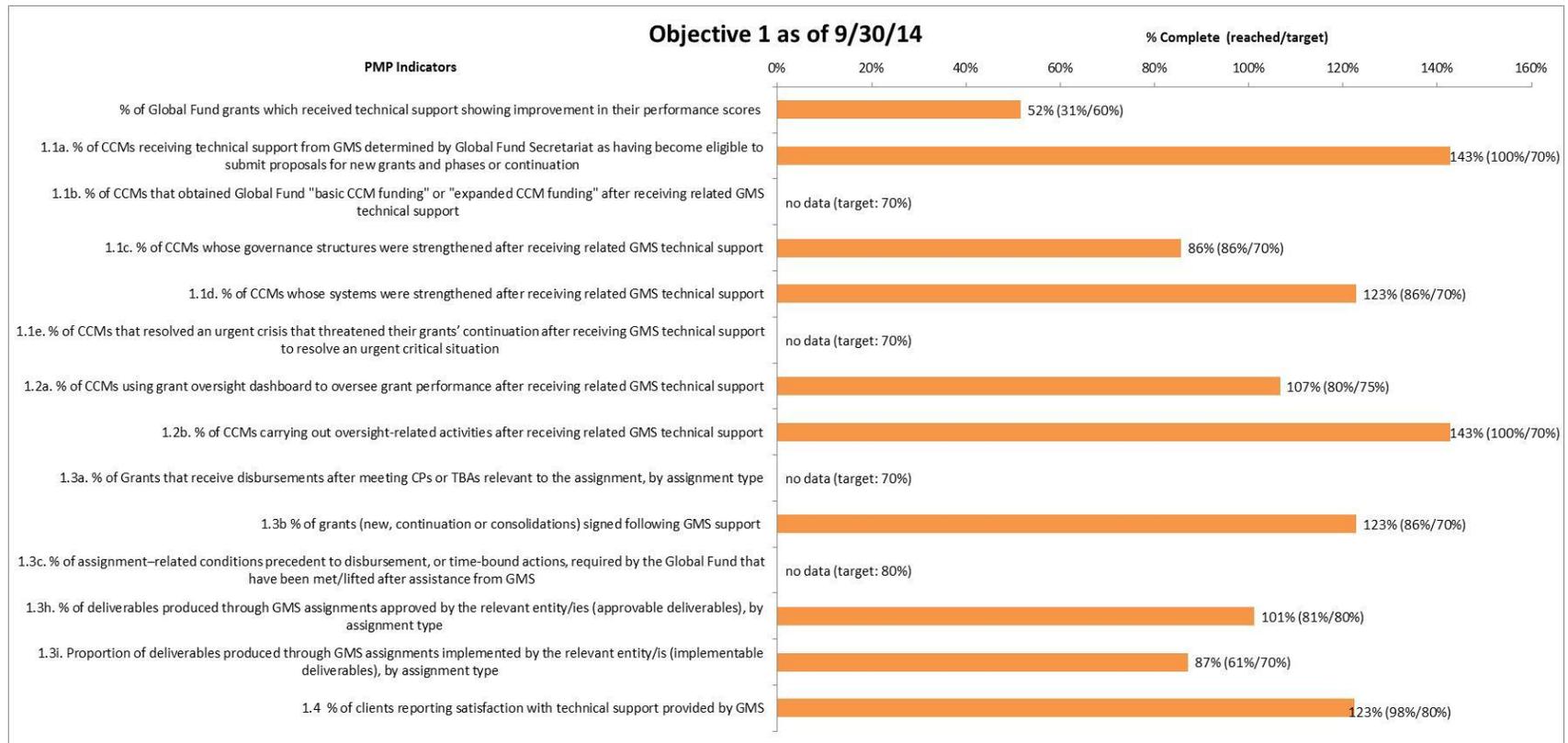
Although Objective 3 requires GMS to disseminate tools and approaches to other TS providers, PY1 and PY2 have shown that their uptake is constrained by their level of resources and their planning cycle. In the future, GMS will try to provide options for modifying the resource requirements for partial adoption toward the common objective.

ANNEX 1. LIST OF ASSIGNMENTS BY DATE OF APPROVAL, BY COUNTRY, BY TECHNICAL THEME

Month Received	Technical Area	Description
YEAR 2 ACTIVITIES		
2013-10	PR Mgt	Mozambique PR Mgt
2013-11	CCM	Nicaragua CCM
2013-11	CCM	Cameroon CCM
2013-12	CCM	Burundi CCM
2013-12	PR Dashboard	Dominican Republic PR Dashboard
2013-12	PR Dashboard	Uganda PR Dashboard
2013-12	PR Dashboard	Cote d'Ivoire PR Dashboard
2013-12	PR Dashboard	Laos PR Dashboard
2013-12	PR Dashboard	South Africa PR Dashboard
2013-12	PR Dashboard	Senegal PR Dashboard
2013-12	CCM	Nigeria CCM
2014-01	PR Mgt	Georgia PR Mgt
2014-02	CCM	Guinea CCM
2014-02	CCM	Lesotho CCM
2014-03	PSM	Cote d'Ivoire PSM
2014-03	CCM	Rwanda CCM
2014-03	CCM	Angola CCM
2014-04	PR Mgt	Zanzibar PR Mgt
2014-04	CCM	Thailand CCM
2014-05	CCM	Ethiopia CCM
2014-07	CCM	Kenya CCM
2014-07	CCM	Mozambique CCM
2014-07	PR Mgt	Cote d'Ivoire PR Mgt
2014-08	CCM	Zimbabwe CCM
2014-08	CCM	Botswana CCM
2014-08	CCM	South Sudan CCM
2014-08	CCM	Dominican Republic CCM
2014-08	CCM	Malawi CCM
2014-09	M&E	Nigeria M&E
2014-09	PRM	Nigeria PRM (MOH)
2014-09	PSM	Nigeria PSM
2014-09	PRM	Nigeria PRM (SFH)
2014-09	CCM	Somalia CCM
2014-11	CCM	Benin CCM
2013-10	CCM	Liberia CCM
2013-10	CCM	Cambodia CCM
2014-06	CCM	Kazakhstan CCM
2014-06	CCM	Tajikistan CCM
2014-06	CCM	Bangladesh CCM
2014-09	CCM	India CCM

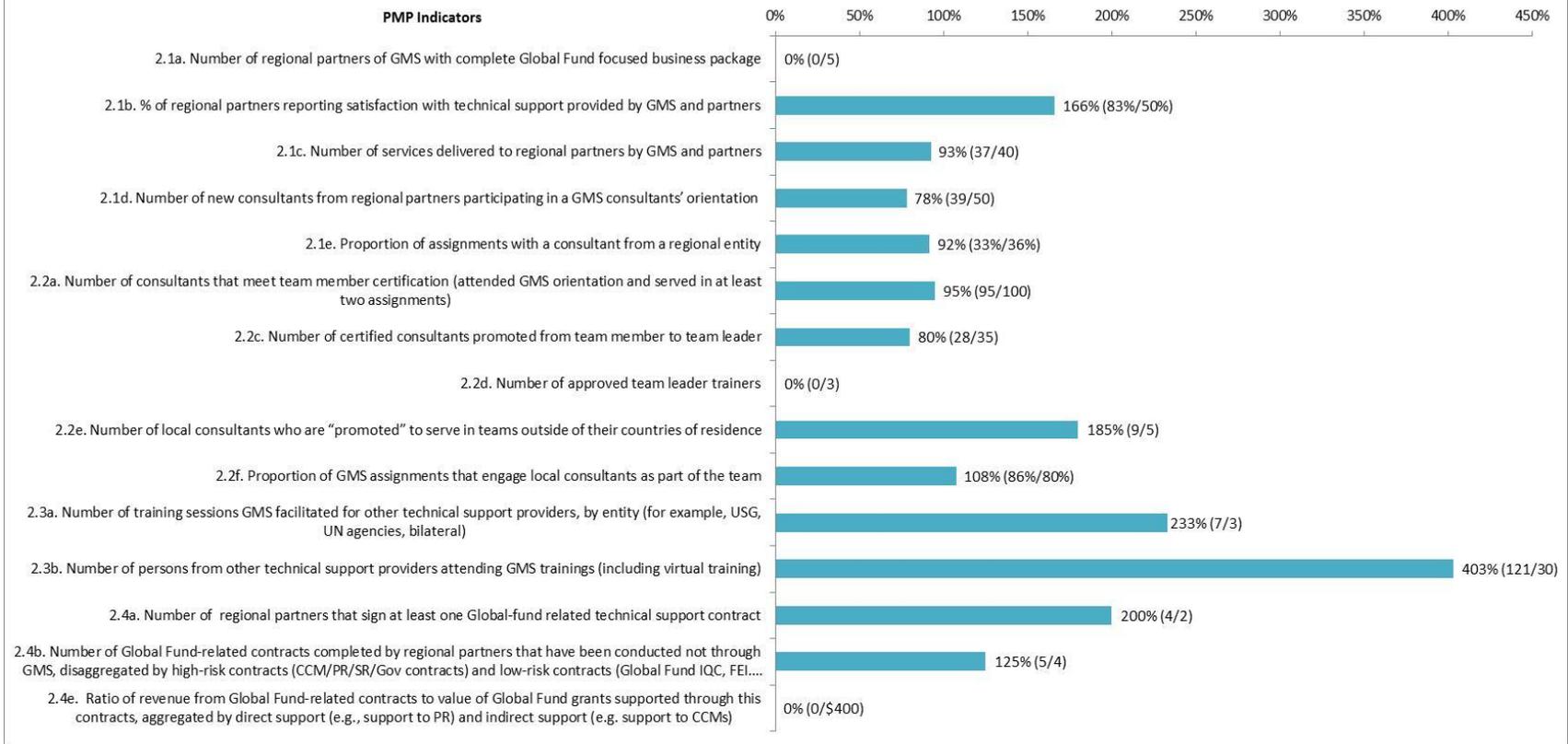
Note: Blue indicates field support assignments

ANNEX 2. PY2 PERFORMANCE MANAGEMENT PLAN—RESULTS

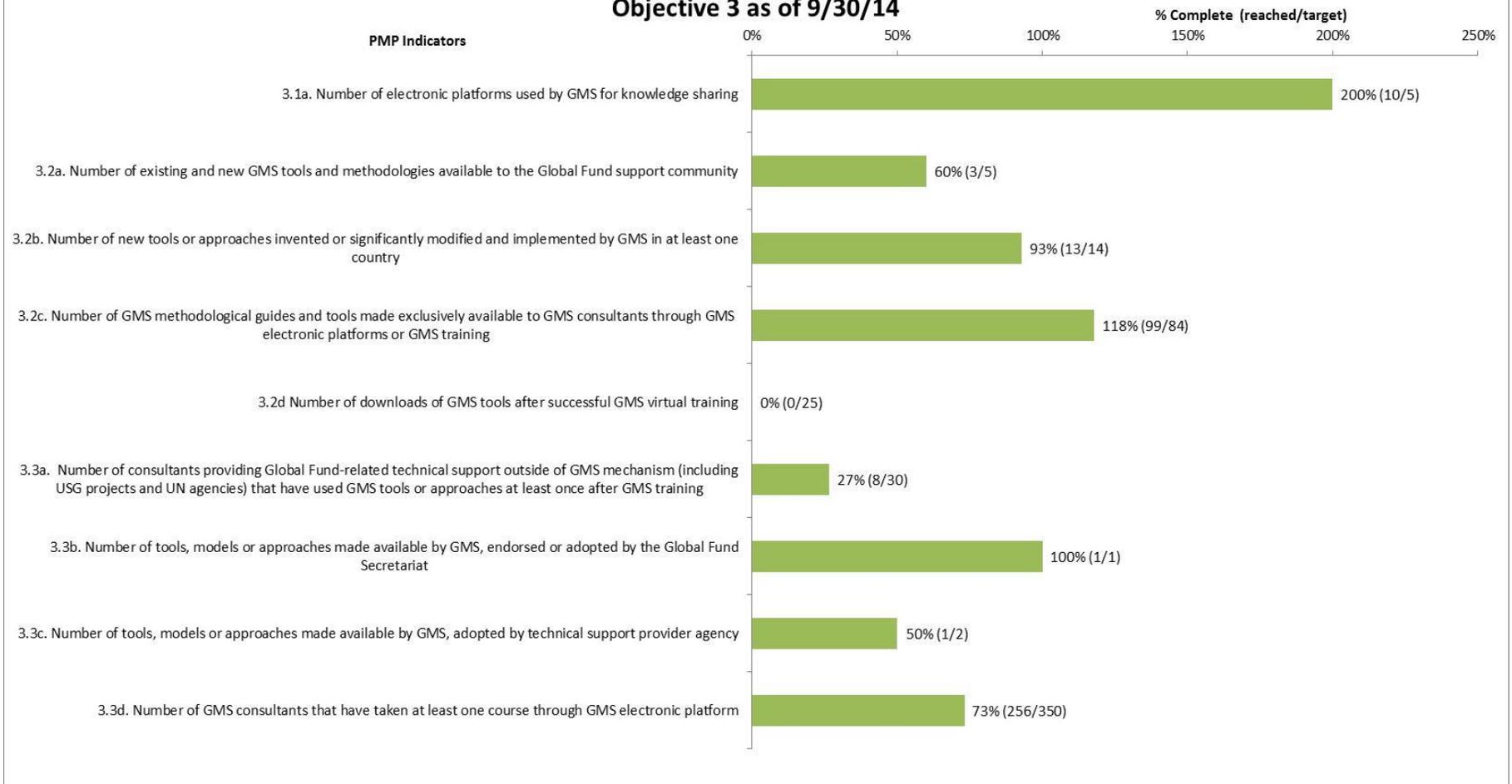


Objective 2 as of 9/30/14

% Complete (reached/target)



Objective 3 as of 9/30/14



Performance Monitoring Plan Indicators without Targets	Reached by 9/30/14
1.1f. Number of CCMs for which structural or procedural documentation completed or updated by GMS team	31
1.2c. Number of oversight plans developed	23
1.2d. Number of new grant dashboards	7
1.3d Number of completed presignature files submitted to PR (new, continuation or consolidations)	9
1.3e. Number of CPs, TBAs, and/or management letter response files completed	0
1.3f. Number of PRs and SRs for which organizational structure and procedures (job descriptions for key positions, manual of procedures, chart of accounts, M&E system) have been established with GMS support after signature of grant	20
1.3g. Number of people trained through GMS assignments (both PR and CCM assignments)	3844
1.3j. Ratio of cost of GMS assignments to value of Global Fund grants supported through GMS assignments, aggregated by direct support (e.g., support to PR) and indirect support (e.g., support to CCMs)	Indirect: \$466 Direct: \$122
2.4c. Revenue (in US\$) generated by Global Fund-related contracts obtained by GMS regional partners	\$181,000
2.4d. Return on investment from Global Fund-related contracts to regional partners	97%

ANNEX 3. TOOLS AND BEST PRACTICES

The list of tools, and the languages in which any given tool is available, is dynamic, with developments in the list of tools reflecting changes in the provision of TS to Global Fund grantees on an ongoing basis. In particular, changes are being made to tools to reflect changes in Global Fund requirement regarding KPs. All tools that are in current use are available in English, most are also available in French and Spanish, a few are available in Russian and Arabic. Each tool is available to a defined audience in soft, electronic, copies; most can be printed on paper; some are available in soft copy only in video or other electronic format. More information about each toolkit is available in brochures on the GMS website. There is a separate list of toolkits for each technical area in which GMS works on the page for each technical area named at www.gmsproject.org/support/index.cfm, on the right side of those pages.

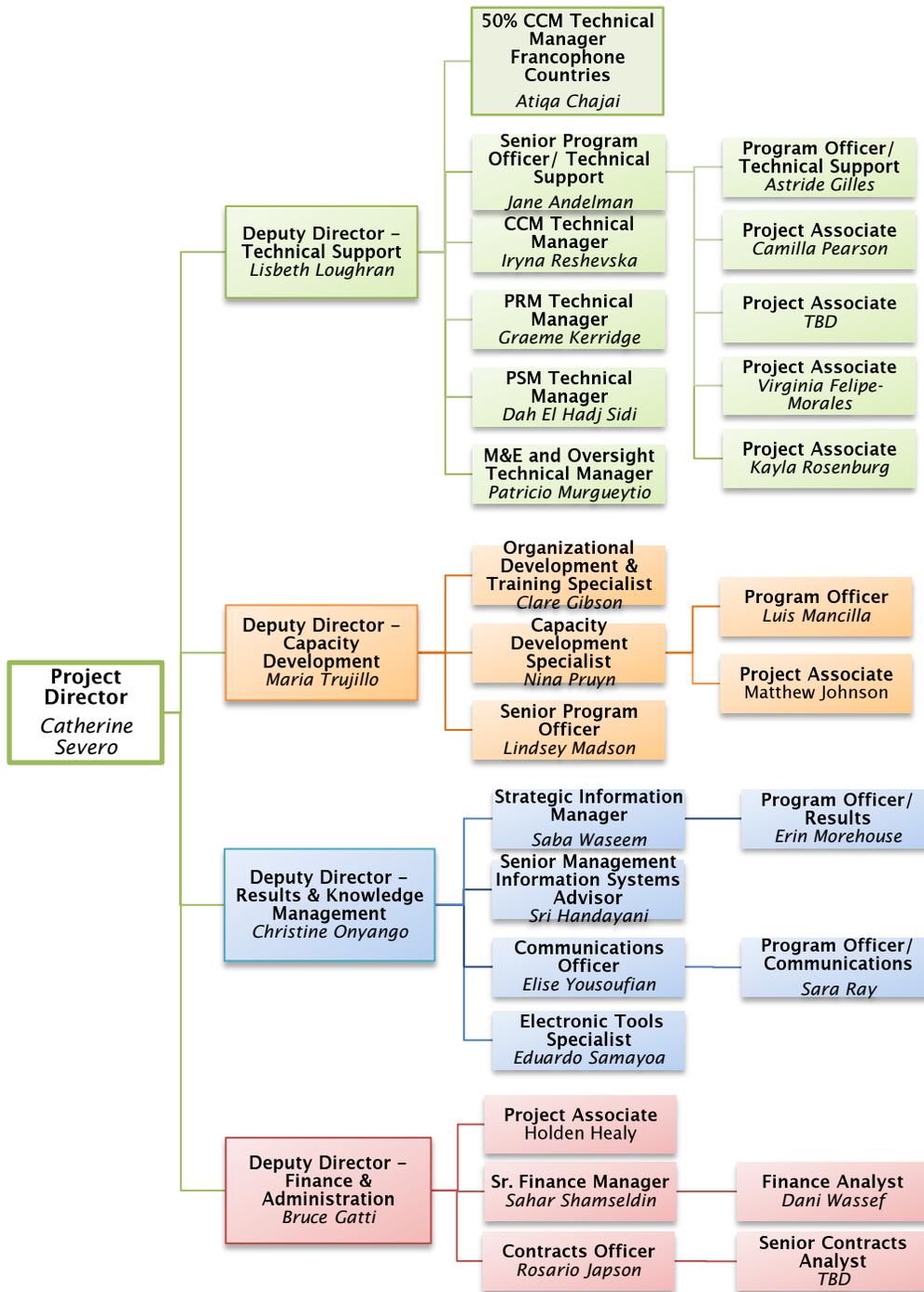
Tools are classified below by technical area.

TOOLKITS BY TECHNICAL AREA AND NAME
CCM Toolkits
<i>Diagnostic Toolkit</i> <i>Strengthening CCM Oversight Capacity</i> <i>Conflict of Interest</i> <i>Strengthening Basic CCM Functioning</i> <i>Strengthening Secretariats Package</i> <i>Strengthening CCM Communications</i>
M&E Toolkits
<i>Monitoring and Evaluation Systems Strengthening Tool Facilitator’s Toolkit</i> <i>Routine Data Quality Assessment Starter Toolkit</i> <i>Subrecipient Monitoring and Evaluation Capacity Assessment Toolkit</i>
PRM Toolkits
<i>Financial Management Package</i> <i>Rapid Functional Analysis</i> <i>Grant Management Package</i>
PSM Toolkits
<i>PSM Assessment Tools Package</i> <i>Quality Assurance Tools Package</i> <i>Strengthening Procurement and Supply Management Functioning</i> <i>Strengthening Procurement and Supply Management Processes Package</i> <i>Quantification of Health Products Package</i> <i>Storage and Distribution Package</i>
Cross-Cutting (several technical areas)
<i>Grant Dashboards for CCM Oversight</i> <i>Grant Consolidation Toolkit</i> <i>Grant Presignature Toolkit</i>

ANNEX 4. LIST OF KEY GMS DOCUMENTS

Description	Title
GMS 2-pager (English, French, Spanish)	Grant Management Solutions
Consultant certification 2-pager and policy	The GMS Consultant Certification Program
Consultant certification 4-pager <i>GMS Consultant Certification</i>	What Every Consultant Needs to Know
Client Satisfaction Survey Template (English, French, Spanish)	
Satisfaction Survey Facts Sheet (English, French, Spanish)	Client Satisfaction Survey
Communications Guidance (English)	Communications Guidance and Protocols for GMS Consultants
Multilingual Glossary	
Technical Support Request forms (English, French, Russian Spanish)	
Technical Support Guidelines (Arabic, English, French, Russian, Spanish)	
GMS's regional partner business intelligence tool – Brochure	
Regional Partners Business Intelligence -- Tool	

ANNEX 5. ORGANIZATION CHART (AT END OF PY2)



Staff changes in PY2

Position	Departures	Arrivals
Senior Program Officer/Technical Support	Meredith Behrens	Jane Andelman
Program Associate/Technical Support	Alys Moore	Kayla Rosenberg
Senior Program Officer/Objective 2	Melissa Melgar	Lindsey Madson
Program Associate/Objective 2	Chad McCoull	
Senior Contracts Officer	Ara Khachatryan	
Promotion to Contracts Officer		Rosario Japson (from Sr. Contracts Analyst)
Strategic Information Manager	Itamar Katz (Abt)	Saba Waseem (Abt)
CCM Manager/Francophone (50%)		Atiqa Chajai (Morocco)